

Calendar Year  
2016 Grants  
System Award  
Letters

	<b>U.S. ENVIRONMENTAL PROTECTION AGENCY</b>  <b>Assistance Amendment</b>	<b>GRANT NUMBER (FAIN): 96813201</b>		<b>DATE OF AWARD</b> 05/09/2016
		<b>MODIFICATION NUMBER: 7</b>		<b>MAILING DATE</b> 05/16/2016
		<b>PROGRAM CODE: PM</b>		
		<b>TYPE OF ACTION</b> Augmentation: Increase		<b>PAYMENT METHOD:</b> ASAP
<b>RECIPIENT TYPE:</b> State		<b>Send Payment Request to:</b> Las Vegas Financial Center- LVFC		
<b>RECIPIENT:</b> UT Department of Environmental Quality 195 North 1950 West Salt Lake City, UT 84114-4810 EIN: 87-6000545		<b>PAYEE:</b> UT Dept of Environmental Quality-Office of Support/Finance 195 N 1950 W Salt Lake City, UT 84116-3085		
<b>PROJECT MANAGER</b> Bo Call 195 North 1950 West Salt Lake City, UT 84114-4810 E-Mail: bocall@utah.gov Phone: 801-536-4215		<b>EPA PROJECT OFFICER</b> Marisa McPhilliamy 1595 Wynkoop Street Denver, CO 80202-1129 E-Mail: McPhilliamy.Marisa@epa.gov Phone: 303-312-6965		<b>EPA GRANT SPECIALIST</b> Sarah Hulstein Grants Audit and Procurement, 8TMS-G E-Mail: Hulstein.Sarah@epa.gov Phone: 303-312-6014
<b>PROJECT TITLE AND EXPLANATION OF CHANGES</b> PM2.5 Monitoring With this project, the Utah Department of Environmental Quality plans, develops, maintains and improves a network to study fine particulates and their distribution in several areas of the state. This award provides funding to the State to operate and maintain a network to monitor ambient levels at sites within the State, maintain a database, and report results to the Environmental Protection Agency. Increase of Funds.				
<b>BUDGET PERIOD</b> 04/01/2012 - 03/31/2017		<b>PROJECT PERIOD</b> 04/01/2012 - 03/31/2017		<b>TOTAL BUDGET PERIOD COST</b> \$2,769,846.00
				<b>TOTAL PROJECT PERIOD COST</b> \$2,769,846.00
<b>NOTICE OF AWARD</b>				
<p>Based on your Application dated 04/09/2012 including all modifications and amendments, the United States acting by and through the US Environmental Protection Agency (EPA) hereby awards \$435,500. EPA agrees to cost-share % of all approved budget period costs incurred, up to and not exceeding total federal funding of \$2,769,846. Recipient's signature is not required on this agreement. The recipient demonstrates its commitment to carry out this award by either: 1) drawing down funds within 21 days after the EPA award or amendment mailing date; or 2) not filing a notice of disagreement with the award terms and conditions within 21 days after the EPA award or amendment mailing date. If the recipient disagrees with the terms and conditions specified in this award, the authorized representative of the recipient must furnish a notice of disagreement to the EPA Award Official within 21 days after the EPA award or amendment mailing date. In case of disagreement, and until the disagreement is resolved, the recipient should not draw down on the funds provided by this award/amendment, and any costs incurred by the recipient are at its own risk. This agreement is subject to applicable EPA regulatory and statutory provisions, all terms and conditions of this agreement and any attachments.</p>				
<b>ISSUING OFFICE (GRANTS MANAGEMENT OFFICE)</b>			<b>AWARD APPROVAL OFFICE</b>	
<b>ORGANIZATION / ADDRESS</b> Environmental Protection Agency, Region 8 1595 Wynkoop Street Denver, CO 80202-1129			<b>ORGANIZATION / ADDRESS</b> U.S. EPA, Region 8 Office of Partnerships and Regulatory Assistance 1595 Wynkoop Street Denver, CO 80202-1129	
<b>THE UNITED STATES OF AMERICA BY THE U.S. ENVIRONMENTAL PROTECTION AGENCY</b>				
<b>Digital signature applied by EPA Award Official</b> Bethany Mills -				<b>DATE</b> 05/09/2016

## EPA Funding Information

FUNDS	FORMER AWARD	THIS ACTION	AMENDED TOTAL
EPA Amount This Action	\$ 1,710,208	\$ 435,500	\$ 2,145,708
EPA In-Kind Amount	\$ 525,850	\$ 98,288	\$ 624,138
Unexpended Prior Year Balance	\$ 0	\$	\$ 0
Other Federal Funds	\$ 0	\$	\$ 0
Recipient Contribution	\$ 0	\$	\$ 0
State Contribution	\$ 0	\$	\$ 0
Local Contribution	\$ 0	\$	\$ 0
Other Contribution	\$ 0	\$	\$ 0
<b>Allowable Project Cost</b>	<b>\$ 2,236,058</b>	<b>\$ 533,788</b>	<b>\$ 2,769,846</b>

Assistance Program (CFDA)	Statutory Authority	Regulatory Authority
66.034 - Surveys-Studies-Investigations-Demonstrations and Special Purpose Activities relating to the Clean Air Act	Clean Air Act: Sec. 103	2 CFR 200 2 CFR 1500 and 40 CFR 33

Fiscal									
Site Name	Req No	FY	Approp. Code	Budget Organization	PRC	Object Class	Site/Project	Cost Organization	Obligation / Deobligation
	1608KPG016	16	E1	08K5	102A04XPM	4112			435,500
									435,500

<b>1. DATE ISSUED:</b> 08/15/2016		<b>2. PROGRAM CFDA:</b> 93.917	
<b>3. SUPERSEDES AWARD NOTICE dated:</b> except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.			
<b>4a. AWARD NO.:</b> 2 X08HA28013-03-00		<b>4b. GRANT NO.:</b> X08HA28013	<b>5. FORMER GRANT NO.:</b>
<b>6. PROJECT PERIOD:</b> <b>FROM:</b> 09/30/2013 <b>THROUGH:</b> 09/29/2017			
<b>7. BUDGET PERIOD:</b> <b>FROM:</b> 09/30/2016 <b>THROUGH:</b> 09/29/2017			



**NOTICE OF AWARD  
AUTHORIZATION (Legislation/Regulation)  
Title XXVI of the PHS Act**

P.L. 111-87 Ryan White HIV/AIDS Treatment Extension Act of 2009 Public Health Service Act, Title XXVI, Section 2620 (42 U.S.C. 300ff-29a), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87) Section 2653 of Title XXVI of the Public Health Service Act (42 U.S.C. § 300ff-29a) as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87). Section 2620 of Title XXVI of the Public Health Service Act, (42 U.S.C. § 300ff-29a) as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87)

**8. TITLE OF PROJECT (OR PROGRAM):** Ryan White Part B Supplemental

**9. GRANTEE NAME AND ADDRESS:**  
DEPARTMENT OF HEALTH UTAH  
288 N 1460 W  
Salt Lake City, UT 84116-3231  
**DUNS NUMBER:**  
959347972

**10. DIRECTOR: (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR)**  
Amelia Self  
DEPARTMENT OF HEALTH UTAH  
MailStop Code: Box 142104  
Division Line: Prevention, Treatment and Care  
PO BOX 142104  
Salt Lake City, UT 84114-2104

**11. APPROVED BUDGET:**(Excludes Direct Assistance)  
 Grant Funds Only  
 Total project costs including grant funds and all other financial participation

a. Salaries and Wages :	\$16,885.00
b. Fringe Benefits :	\$10,469.00
c. Total Personnel Costs :	\$27,354.00
d. Consultant Costs :	\$0.00
e. Equipment :	\$0.00
f. Supplies :	\$306.00
g. Travel :	\$0.00
h. Construction/Alteration and Renovation :	\$0.00
i. Other :	\$1,124.00
j. Consortium/Contractual Costs :	\$688,010.00
k. Trainee Related Expenses :	\$0.00
l. Trainee Stipends :	\$0.00
m. Trainee Tuition and Fees :	\$0.00
n. Trainee Travel :	\$0.00
o. TOTAL DIRECT COSTS :	\$716,794.00
p. INDIRECT COSTS (Rate: % of S&W/TADC) :	\$3,473.00
q. TOTAL APPROVED BUDGET :	\$720,267.00
i. Less Non-Federal Share:	\$0.00
ii. Federal Share:	\$720,267.00

**12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE:**

a. Authorized Financial Assistance This Period	<b>\$720,267.00</b>
b. Less Unobligated Balance from Prior Budget Periods	
i. Additional Authority	\$0.00
ii. Offset	\$0.00
c. Unawarded Balance of Current Year's Funds	\$0.00
d. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	<b>\$720,267.00</b>

**13. RECOMMENDED FUTURE SUPPORT:** (Subject to the availability of funds and satisfactory progress of project)

YEAR	TOTAL COSTS
	Not applicable

**14. APPROVED DIRECT ASSISTANCE BUDGET:**(In lieu of cash)

a. Amount of Direct Assistance	\$0.00
b. Less Unawarded Balance of Current Year's Funds	\$0.00
c. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION	<b>\$0.00</b>

**15. PROGRAM INCOME SUBJECT TO 45 CFR 75.307 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**  
**A=Addition B=Deduction C=Cost Sharing or Matching D=Other** [A]  
Estimated Program Income: \$0.00

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS 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 cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 75 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS:** (Other Terms and Conditions Attached  Yes  No)

*Electronically signed by Brad Barney , Grants Management Officer on : 08/15/2016*

<b>17. OBJ. CLASS:</b> 41.45	<b>18. CRS-EIN:</b> 1876000545C1	<b>19. FUTURE RECOMMENDED FUNDING:</b> \$0.00
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<b>FY-CAN</b>	<b>CFDA</b>	<b>DOCUMENT NO.</b>	<b>AMT. FIN. ASST.</b>	<b>AMT. DIR. ASST.</b>	<b>SUB PROGRAM CODE</b>	<b>SUB ACCOUNT CODE</b>
16 - 3771135	93.917	16X08HA28013	\$720,267.00	\$0.00		HIVSUP-16

## HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPSEExternal/Interface/common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-Go4-HRSA/877-464-4772.

## Terms and Conditions

**Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.**

### Grant Specific Term(s)

1. This action reflects a new document number. Please refer to this number when contacting the Payment Management System or submitting drawdown requests. Reporting on the FFR (Federal Financial Report) SF 425-Federal Cash Transaction Report (FCTR) should reflect this number for all disbursements related to this project period.
2. The funds for this award are sub-accounted in the Payment Management System (PMS) and will be in a P type (sub accounted) account. This type of account allows recipients to specifically identify the individual grant for which they are drawing funds and will assist HRSA in monitoring the award. If your organization previously received a grant under this program, it was in a G type (cash pooled) account designated by a PMS Account Number ending in G or G1. Now that this grant is sub accounted the PMS Account Number will be changed to reflect either P or P1. For example, if the prior year grant was in payee account number 2AAG it will now be in 2AAP. Similarly, if the prior year grant was in payee account 2AAG1, the grant will be in payee account 2AAP1. The P sub account number and the sub account code (provided on page 1 of this Notice of Award) are both needed when requesting grant funds.

You may use your existing PMS username and password to check your organizations P account access. If you do not have access, complete a PMS Access Form (PMS/FFR Form) found at: [http://www.dpm.psc.gov/grant\\_recipient/grantee\\_forms.aspx](http://www.dpm.psc.gov/grant_recipient/grantee_forms.aspx) and send it to the fax number indicated on the bottom of the form. If you have any questions about accessing PMS, contact the PMS Liaison Accountant as identified at: <http://www.dpm.psc.gov/contacts/contacts.aspx>.

3. The requirements of 48 CFR section 3.908 (found at <http://www.ecfr.gov>) implementing section 828 of the National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections" apply to this award. This notice requires that grantees inform their employees in writing of employee whistleblower rights and protections under [41 U.S.C. 4712](http://www.uscode.house.gov/browse.xhtml) in the predominant native language of the workforce. The details of 41 U.S.C. 4712 can be found at <http://www.uscode.house.gov/browse.xhtml>. (regarding 48 CFR section 3.908, note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term, should read as "grant," "grantee," "subgrant," or "subgrantee").
4. Effective December 26, 2014, all references to OMB Circulars for the administrative and audit requirements and the cost principles that govern Federal monies associated with this award are superseded by the Uniform Guidance 2 CFR 200 as codified by HHS at 45 CFR 75.

### Program Specific Term(s)

1. Funds may not be used by recipients or sub-recipients for the purchase of vehicles without written prior approval from the Division of Grants Management Operations (DGMO).
2. Except for recipients that receive a minimum allotment of RWHAP Part B Supplemental funds, the recipient may not use more than ten percent (10%) of the current budget period funds for direct and indirect costs associated with planning and evaluation activities or more than ten percent (10%) of the current budget period funds for direct and/or indirect costs associated with administering the RWHAP Part B Supplemental award. The total amount used for these two activities when combined may not exceed fifteen percent (15%) of the total award amount. The recipient must ensure that the aggregate total of subrecipient administrative expenditures, including all indirect costs, does not exceed 10% of the aggregate total of funds awarded to subrecipients. Subrecipient administrative expenses may be individually set and may vary; however, the aggregate total of subrecipients' administrative costs may not exceed the 10% limit. See Policy 15-01 for additional information on the 10% administrative cap.
3. Consistent with Departmental guidance, HRSA recipients that purchase, are reimbursed or provide reimbursement to other entities for outpatient prescription drugs are expected to secure the best prices available for such products and to maximize results for the recipient organization and its patients. Eligible health care organizations/covered entities that enroll in the 340B Program must comply with all 340B Program requirements and will be subject to audit regarding 340B Program compliance. 340B Program

- requirements, including eligibility, can be found at [www.hrsa.gov/opa](http://www.hrsa.gov/opa).
4. In accordance with the RWHAP client eligibility determination and recertification requirements (Policy 13-02), HRSA expects clients' eligibility be assessed during the initial eligibility determination, at least every six months, and at least once a year (whether defined as a 12-month period or calendar year) to ensure that the program only serves eligible clients, and that the RWHAP is the payer of last resort.
  5. The Recipient is required to meet specific requirements regarding the monitoring of both their grant and their subrecipient providers as detailed in the *National Monitoring Standards for Ryan White Grantees*.
  6. In accordance with Program Policy No. 12-01, grant funds may not be used for: 1.) outreach programs which have HIV prevention education as their exclusive purpose, or 2.) broad-scope awareness activities about HIV services that target the general public. <http://hab.hrsa.gov/manageyourgrant/pinspals/outreachpolicy2012.pdf>
  7. Recipients must follow the guidance in all applicable HIV/AIDS Bureau Policy Notices and Program Letters to ensure compliance with programmatic requirements. See <http://hab.hrsa.gov/manageyourgrant/policiesletters.html>.
  8. Unless a waiver is obtained, not less than 75 percent of the portion of the grant remaining after reserving amounts for administration, planning/evaluation and clinical quality management will be used to provide core medical services that are needed in the State for individuals with HIV who are identified and eligible under this title (including services regarding the co-occurring conditions of the individuals). The recipient shall not exceed the lesser of 5 percent of the total grant funds or \$3 million for the required clinical quality management (CQM) program.
  9. Some aspects of Syringe Services Programs are allowable with HRSA's prior approval and in compliance with HHS and HRSA policy. See <https://www.aids.gov/federal-resources/policies/syringe-services-programs/>.
  10. RWHAP funds may not be used to make cash payments to intended recipients of services. This prohibition includes cash incentives and cash intended as payment for RWHAP services. Where direct provision of the service is not possible or effective, vouchers, coupons, or tickets that can be exchanged for a specific service or commodity (e.g., food or transportation) must be used. Store gift cards that can be redeemed at one merchant or an affiliated group of merchants for specific goods or services that further the goals and objectives of the RWHAP are also allowable as incentives or to provide services to eligible program participants. Recipients are advised to administer voucher and store gift card programs in a manner which assures that they cannot be used for anything other than the allowable goods or services, and that systems are in place to account for disbursed vouchers and store gift cards. Note: General-use prepaid cards are considered "cash equivalent" and are therefore unallowable. Such cards generally bear the logo of a payment network, such as Visa, MasterCard, or American Express, and are accepted by any merchant that accepts those credit or debit cards as payment. Gift cards that are cobranded with the logo of a payment network and the logo of a merchant or affiliated group of merchants are general-use prepaid cards, not store gift cards, and therefore are also unallowable.
  11. In accordance with Guidelines for the Utilization and Reporting of Pharmaceutical Rebates (Rebate Policy), recipients that collect rebates on ADAP medication purchases must adhere to the provisions outlined in this policy. [http://hab.hrsa.gov/affordablecareact/pcn\\_15-04\\_pharmaceutical\\_rebates.pdf](http://hab.hrsa.gov/affordablecareact/pcn_15-04_pharmaceutical_rebates.pdf).
  12. Programs are required to track and report all sources of service reimbursement as program income on the annual Federal Financial Report and in annual data reports. All program income earned must be used to further the objectives of the Ryan White HIV/AIDS Program. Program income may be used to satisfy all or part of the state matching requirements. [http://hab.hrsa.gov/affordablecareact/pcn\\_15-03\\_program\\_income.pdf](http://hab.hrsa.gov/affordablecareact/pcn_15-03_program_income.pdf).
  13. All Ryan White HIV/AIDS Program Part A, B, C, and D recipients must adhere to the legislative requirement to establish a clinical quality management program. HRSA HIV/AIDS Bureau expectations for clinical quality management are outlined in Policy Clarification Notice 15-02(<http://hab.hrsa.gov/manageyourgrant/clinicalqualitymanagementpcn.pdf>).
  14. The recipient must comply with data requirements of the RSR and mandate compliance by each of its subrecipients. The RSR captures information necessary to demonstrate program performance and accountability. All RWHAP core service and support service providers are required to submit client-level data as instructed in the RSR manual. Please refer to the HIV/AIDS Program Client-Level Data website for additional information.
  15. If the recipient expends any of the RWHAP Part B supplemental award on the AIDS Drug Assistance Program (ADAP), it must comply with data reporting requirements of the ADAP Data Report (ADR) for those funds, and the recipient must mandate compliance by each of its subrecipients. Please refer to the HIV/AIDS Program ADAP Data Report webpage at <http://hab.hrsa.gov/manageyourgrant/adr.html> for additional information.
  16. Ryan White HIV/AIDS Program (RWHAP) funds cannot pay for pre-exposure prophylaxis (PrEP) or non-occupational Post-Exposure Prophylaxis (nPEP) as the person using PrEP is not an individual living with HIV and the person using nPEP is not diagnosed with HIV prior to the exposure and therefore are not eligible for RWHAP funded medications or medical services. RWHAP Parts A and B recipients and subrecipients may provide some limited services under the EIS service category. (See the HIV/AIDS Bureau June 22, 2016 Program Letter available online at <http://hab.hrsa.gov/manageyourgrant/prepletter062216.pdf>.)
  17. The recipient is required to establish and maintain a process for protecting client confidentiality throughout the project period. Client confidentiality requirements apply to all phases of the project.
  18. Per 45 CFR §75.351 - 353, recipients must monitor the activities of their subrecipients as necessary to ensure that the subaward is used for authorized purposes, in

compliance with Federal statutes, Ryan White HIV/AIDS Program legislative requirements, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Recipients must ensure that subrecipients track, appropriately use, and report program income generated by the subaward. Recipients must also ensure that subrecipient expenditures adhere to legislative mandates regarding the distribution of funds.

19. Funds may not be used for the following: cash payments to intended recipients of services, purchasing or construction of real property, international travel, HIV Test kits, Pre-Exposure Prophylaxis (PrEP) or non-occupational Post-Exposure Prophylaxis (nPEP), or payments for any item or service to the extent that payment has been made, or reasonably can be expected to be made, with respect to that item or service under any State compensation program, insurance policy, Federal or State health benefits program or by an entity that provides health services on a prepaid basis (except for a program administered by or providing the services of the Indian Health Services).
20. The recipient must comply with statutory requirements regarding the timeframe for obligation and expenditure of funds, and must comply with any cancellation of unobligated funds.

## Standard Term(s)

1. Recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions outlined in applicable Department of Health and Human Services (HHS) Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts.
2. All discretionary awards issued by HRSA on or after October 1, 2006, are subject to the HHS Grants Policy Statement (HHS GPS) unless otherwise noted in the Notice of Award (NoA). Parts I through III of the HHS GPS are currently available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>. Please note that the Terms and Conditions explicitly noted in the award and the HHS GPS are in effect.
3. HRSA requires grantees to use the following acknowledgement and disclaimer on all products produced by HRSA grant funds:
 

*"This project is/was supported by the Health Resources and Services Administration (HRSA) of the U.S. Department of Health and Human Services (HHS) under grant number and title for grant amount (specify grant number, title, total award amount and percentage financed with nongovernmental sources). This information or content and conclusions are those of the author and should not be construed as the official position or policy of, nor should any endorsements be inferred by HRSA, HHS or the U.S. Government."*

Grantees are required to use this language when issuing statements, press releases, requests for proposals, bid solicitations, and other HRSA supported publications and forums describing projects or programs funded in whole or in part with HRSA funding. Examples of HRSA-supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies and issues briefs.
4. Recipients and sub-recipients of Federal funds are subject to the strictures of the Medicare and Medicaid anti-kickback statute (42 U.S.C. 1320a - 7b(b) and should be cognizant of the risk of criminal and administrative liability under this statute, specifically under 42 U.S.C. 1320 7b(b) Illegal remunerations which states, in part, that whoever knowingly and willfully: (A) Solicits or receives (or offers or pays) any remuneration (including kickback, bribe, or rebate) directly or indirectly, overtly or covertly, in cash or in kind, in return for referring (or to induce such person to refer) an individual to a person for the furnishing or arranging for the furnishing of any item or service, OR (B) In return for purchasing, leasing, ordering, or recommending purchasing, leasing, or ordering, or to purchase, lease, or order, any goods, facility, services, or item ....For which payment may be made in whole or in part under subchapter XIII of this chapter or a State health care program, shall be guilty of a felony and upon conviction thereof, shall be fined not more than \$25,000 or imprisoned for not more than five years, or both.
5. Items that require prior approval from the awarding office as indicated in 45 CFR Part 75 [Note: 75 (d) HRSA has not waived cost-related or administrative prior approvals for recipients unless specifically stated on this Notice of Award] or 45 CFR Part 75 must be submitted in writing to the Grants Management Officer (GMO). Only responses to prior approval requests signed by the GMO are considered valid. Grantees who take action on the basis of responses from other officials do so at their own risk. Such responses will not be considered binding by or upon the HRSA.
 

In addition to the prior approval requirements identified in Part 75, HRSA requires grantees to seek prior approval for significant rebudgeting of project costs. Significant rebudgeting occurs when, under a grant where the Federal share exceeds \$100,000, cumulative transfers among direct cost budget categories for the current budget period exceed 25 percent of the total approved budget (inclusive of direct and indirect costs and Federal funds and required matching or cost sharing) for that budget period or \$250,000, whichever is less. For example, under a grant in which the Federal share for a budget period is \$200,000, if the total approved budget is \$300,000, cumulative changes within that budget period exceeding \$75,000 would require prior approval). For recipients subject to 45 CFR Part 75, this requirement is in lieu of that in 45 CFR 75 which permits an agency to require prior approval for specified cumulative transfers within a grantee's approved budget. [Note, even if a grantee's proposed rebudgeting of costs falls below the significant rebudgeting threshold identified above, grantees are still required to request prior approval, if some or all of the rebudgeting reflects either a change in scope, a proposed purchase of a unit of equipment exceeding \$25,000 (if not included in the approved application) or other prior approval action identified in Part 75 unless HRSA has specifically exempted the grantee from the requirement(s).]



6. Payments under this award will be made available through the DHHS Payment Management System (PMS). PMS is administered by the Division of Payment Management, Financial Management Services, Program Support Center, which will forward instructions for obtaining payments. Inquiries regarding payments should be directed to: ONE-DHHS Help Desk for PMS Support at 1-877-614-5533 or [PMSSupport@psc.hhs.gov](mailto:PMSSupport@psc.hhs.gov). For additional information please visit the Division of Payment Management Website at [www.DPM.PSC.GOV](http://www.DPM.PSC.GOV).
7. The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous. Contact: Office of Inspector General, Department of Health and Human Services, Attention: HOTLINE, 330 Independence Avenue Southwest, Cohen Building, Room 5140, Washington, D. C. 20201, Email: [Htips@os.dhhs.gov](mailto:Htips@os.dhhs.gov) or Telephone: 1-800-447-8477 (1-800-HHS-TIPS).
8. Submit audits, if required, in accordance with 45 CFR Part 75, to: Federal Audit Clearinghouse Bureau of the Census 1201 East 10th Street Jefferson, IN 47132 PHONE: (310) 457-1551(310) 457-1551, (800)253-0696(800)253-0696 toll free <https://harvester.census.gov/facweb/default.aspx/>
9. EO 13166, August 11, 2000, requires recipients receiving Federal financial assistance to take steps to ensure that people with limited English proficiency can meaningfully access health and social services. A program of language assistance should provide for effective communication between the service provider and the person with limited English proficiency to facilitate participation in, and meaningful access to, services. The obligations of recipients are explained on the OCR website at <http://www.hhs.gov/ocr/lep/reviseedlep.html>.
10. This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.hrsa.gov/grants/trafficking.htm>. If you are unable to access this link, please contact the Grants Management Specialist identified in this Notice of Award to obtain a copy of the Term.
11. The Consolidated Appropriations Act, 2016, Division H, § 202, (P.L.114-113) enacted December 18, 2015, limits the salary amount that may be awarded and charged to HRSA grants and cooperative agreements to the Federal Executive Pay Scale Level II rate set at \$185,100, effective January 10, 2016. This amount reflects an individual's base salary exclusive of fringe benefits. An individual's institutional base salary is the annual compensation that the recipient organization pays an individual and excludes any income an individual may be permitted to earn outside the applicant organization duties. HRSA funds may not be used to pay a salary in excess of this rate. This salary limitation also applies to sub-recipients under a HRSA grant or cooperative agreement. The salary limitation does not apply to payments made to consultants under this award although, as with all costs, those payments must meet the test of reasonableness and be consistent with recipient's institutional policy. None of the awarded funds may be used to pay an individual's salary at a rate in excess of the salary limitation. Note: an individual's base salary, per se, is NOT constrained by the legislative provision for a limitation of salary. The rate limitation simply limits the amount that may be awarded and charged to HRSA grants and cooperative agreements.
12. To serve persons most in need and to comply with Federal law, services must be widely accessible. Services must not discriminate on the basis of age, disability, sex, race, color, national origin or religion. The HHS Office for Civil Rights provides guidance to grant and cooperative agreement recipients on complying with civil rights laws that prohibit discrimination on these bases. Please see <http://www.hhs.gov/civil-rights/for-individuals/index.html>. HHS also provides specific guidance for recipients on meeting their legal obligation under Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in programs and activities that receive Federal financial assistance (P. L. 88-352, as amended and 45 CFR Part 75). In some instances a recipient's failure to provide language assistance services may have the effect of discriminating against persons on the basis of their national origin. Please see <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html> to learn more about the Title VI requirement for grant and cooperative agreement recipients to take reasonable steps to provide meaningful access to their programs and activities by persons with limited English proficiency.
13. Important Notice: The Central Contractor registry (CCR) has been replaced. The General Services Administration has moved the CCR to the System for Award Management (SAM) on July 30, 2012. To learn more about SAM please visit <https://www.sam.gov>.

It is incumbent that you, as the recipient, maintain the accuracy/currency of your information in the SAM at all times during which your entity has an active award or an application or plan under consideration by HRSA, unless your entity is exempt from this requirement under 2 CFR 25.110. Additionally, this term requires your entity to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information. This requirement flows down to subrecipients. Note: SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients). Grants.gov will reject submissions from applicants with expired registrations. It is advisable that you do not wait until the last minute to register in SAM or update your information. According to the SAM Quick Guide for Grantees ([https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)), an entity's registration will become active after 3-5 days. Therefore, check for active registration well before the application deadline.

14. In any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, grantees must treat same-sex spouses, marriages, and households on the same terms as opposite-sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50

states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage. This term applies to all grant programs except block grants governed by 45 CFR part 96 or 45 CFR Part 98, or grant awards made under titles IV-A, XIX, and XXI of the Social Security Act; and grant programs with approved deviations.

## Reporting Requirement(s)

### 1. Due Date: 12/29/2016

The recipient must submit a FY 2016 Supplemental Program Terms Report as a Ryan White HIV/AIDS Program Part B Supplemental Award grant requirement via the HRSA EHBs, consistent with reporting guidelines, instructions, and reporting templates provided in EHBs. The Report must include the following items:

- a. The FY 2016 RWHAP Part B Supplemental Allocation Report, indicating the priority areas established by the Recipient and the dollar amount of RWHAP Part B Supplemental funds allocated to each prioritized service category related to eligible Core Medical and Support Services. Use only the categories identified on the Report.
- b. A revised FY 2016 RWHAP Part B Supplemental SF424A budget and FY 2016 RWHAP Part B Supplemental Budget Narrative Spreadsheet justification for: Administration, Clinical Quality Management, and HIV Services for all FY 2016 funding. The Form can be found at <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>. The Recipient should only print the Budget Information-Non Construction Programs (Section A-F).
- c. A complete FY 2016 RWHAP Part B Supplemental Revised Implementation Plan that reflects all Core Medical and Support service categories and priorities established by the recipient and that are consistent with the FY 2016 RWHAP Part B Supplemental Allocations Report.
- d. A FY 2016 RWHAP Part B Consolidated List of Contractors (CLC) for all direct service providers receiving RWHAP Part B Supplemental funding through contracts, Memorandum of Agreement(MOA), Memorandum of Understanding (MOU), and/or Letters of Agreement(LOA). Providers funded at the Consortia level should also be included in the CLC. New for 2016: The CLC also populates from the Grantee Contract Management System (GCMS). The GCMS stores all your contract information for your grant. You must update your contract information in GCMS for your FY 2016 fiscal year. Instructions on how to update your contract information in GCMS may be found in the Program Terms Report Instructions within the FY 2016 Program Terms Report portal in the EHB.
- e. A FY 2016 RWHAP Part B Contract Review Certification (CRC) for all funds for direct service contracts.

### 2. Due Date: 12/28/2017

The recipient must submit a FY 2016 Ryan White HIV/AIDS Program Part B Supplemental Award Annual Progress Report via the HRSA EHBs, consistent with reporting guidelines and instructions provided. This report must include expenditure data for FY 2016 Ryan White HIV/AIDS Program Part B Supplemental Award funding. The recipient may use the suggested format provided in the EHBs, *FY 2016 Ryan White HIV/AIDS Program Part B Supplemental Award Expenditures Report*.

Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.

### 3. Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due Quarter End Date after 90 days of reporting period.

The grantee must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period and must be submitted using the Electronic Handbooks (EHBs). The FFR due dates have been aligned with the Payment Management System quarterly report due dates, and will be due 90, 120, or 150 days after the budget period end date. Please refer to the chart below for the specific due date for your FFR:

- Budget Period ends August – October: FFR due January 30
- Budget Period ends November – January: FFR due April 30
- Budget Period ends February – April: FFR due July 30
- Budget Period ends May – July: FFR due October 30

**Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.**

## Contacts

**NoA Email Address(es):**

Name	Role	Email
Shari A Watkins	Authorizing Official	swatkins@utah.gov
Amelia Self	Program Director	aself@utah.gov
Amelia Self	Point of Contact	aself@utah.gov
Marcee Mortensen	Business Official	marceemortensen@utah.gov

Note: NoA emailed to these address(es)

**Program Contact:**

For assistance on programmatic issues, please contact Kibibi Matthews-Brown at:  
 MailStop Code: 09W57A  
 HRSA/HAB- Division of State HIV/AIDS Programs  
 5600 Fishers Lane  
 RM 09W57A  
 Rockville, MD, 20857-  
 Email: KMatthews-Brown@hrsa.gov  
 Phone: (301) 443-1035

**Division of Grants Management Operations:**

For assistance on grant administration issues, please contact Patryce Peden at:  
 HRSA/OFAM/DGMO/HRHB  
 5600 Fishers Lane  
 Rockville, MD, 20857-  
 Email: PPeden@hrsa.gov  
 Phone: (301) 443-2277

Department of the Army  
Corps of Engineers, CEHNC-EM  
Environmental & Munitions Center of Expertise  
1616 Capitol Avenue  
Omaha, Nebraska 68102-4901

Department of Defense and State Memorandum of Agreement  
Cooperative Agreement

This Cooperative Agreement (CA) is made pursuant to a Department of Defense and State Memorandum of Agreement (DSMOA) between the Department of Defense (DoD) and the Utah Department of Environmental Quality on behalf of the State of Utah, signed on November 11, 1998. The parties to this agreement are DoD on behalf of the United States and the State of Utah. The State of Utah is also referred to as the "Recipient" to this agreement.

- 1. COOPERATIVE AGREEMENT TITLE:** "Department of Defense and State Memorandum of Agreement Program"
- 2. COOPERATIVE AGREEMENT NUMBER:** W912DY-16-2-0248
- 3. RECIPIENT CONTACT NAME AND ADDRESS:** All communications to the Recipient in connection with this agreement shall be addressed to the following point of contact:

Ms. Sheila Stone  
Utah Department of Environmental Quality  
Division of Solid and Hazardous Waste  
P.O. Box 144880  
195 North 1950 West  
Salt Lake City, UT 84114-4880

Telephone: (801) 536-0208  
Facsimile: (801) 536-0222  
E-mail: slstone@utah.gov

- 4. PAYMENT METHOD:** Reimbursement from DoD to the Recipient shall be made by means of electronic funds transfers. The Recipient shall provide its payment "routing" number to its U.S. Army Corps of Engineers (USACE) Financial Manager. The USACE Financial Manager will ensure this information is provided to the Government paying office and ensure that the electronic payment procedures are properly established. The payment office and the Recipient shall only maintain Recipient's routing numbers.

Tax ID No: 87-6000545

DUNS No: 826001059

5. **SCOPE OF WORK:** The work to be accomplished under this agreement consists of the approved eligible services that are identified in the following documents which are hereby incorporated by reference:
  - a. The DSMOA with the Recipient dated November 11, 1998.
  - b. The Two-Year CA Joint Execution Plan (JEP) developed by the Recipient and the Military Components identified in the DSMOA.
  - c. The approved eligible services associated with environmental restoration project(s) on the installation(s) listed in Attachment A, attached hereto and made a part hereof, which the parties adopt in accordance with the DSMOA. Any changes to Attachment A may only be accomplished through bilateral modification to this CA in accordance with the DSMOA.
  - d. Travel: DoD expects CA Recipients may be required to travel both within and outside their State in order to accomplish and complete the services funded in furtherance of the Secretary of Defense's mission.
6. **INSTALLATIONS COVERED BY THIS CA:** This CA shall apply to the environmental restoration projects on the installations listed in Attachment A, attached hereto and made a part hereof, which the parties adopt in accordance with the DSMOA. Any changes to Attachment A may only be accomplished through bilateral modification to this CA in accordance with the DSMOA.
7. **PERFORMANCE PERIOD:** This CA shall apply to approved eligible services provided by the Recipient and its agents, contractors, subcontractors, sub-recipients and employees during the period beginning July 1, 2016 and ending June 30, 2018. Anything above the funded amount of this CA is subject to the availability of funds.
8. **AWARD AMOUNT:** Award amounts are shown in the table at Attachment B, attached hereto and made a part hereof. DoD agrees to reimburse the Recipient for approved eligible services the Recipient, its agents, contractors, subcontractors, sub-recipients and/or employees may perform during the performance period and in connection with the installations described in Attachment A of this CA. The Recipient shall not exceed the award amounts specified in Attachment B. The Recipient shall notify the Grants Officer and the individuals identified in paragraphs 9 (b), (d) and the appropriate Funding Component when 80% of the funded amount for any specific fund has been expended. The Recipient may request additional funds for eligible services provided under this agreement, such as an increase in the award amounts

specified in Attachment B, in accordance with the procedure set forth in paragraph 14 (b) below. However, if no response is received from the Government or additional funding granted, the Recipient should stop work for that funding category prior to exceeding the funded amount.

**9. POINTS OF CONTACT:**

a. United States Grants Officer:

Ms. Felicia M. McBride  
U.S. Army Engineering and Support Center, Huntsville  
ATTN: CEHNC-CTB (McBride)  
4820 University Square Blvd.  
Huntsville, AL 35816

Telephone: 256-895-1768  
Facsimile: 256-895-1197  
E-mail: Felicia.M.McBride@usace.army.mil

b. Program Representative:

Ms. Sandra C. Snelling  
Headquarters, U. S. Army Corps of Engineers  
Attn: CEMP-CED  
441 G Street NW  
Washington, DC 20314-1000

Telephone: 202-761-7497  
Facsimile: 202-761-4169  
E-mail: Sandra.C.Snelling@usace.army.mil

c. Financial Representative (for issues related to reimbursements to the Recipient):

Ms. Brenda Hodgins-Greco  
U. S. Army Corps of Engineers  
Environmental and Munitions Center of Expertise  
ATTN: CEHNC-EMC (Hodgins-Greco)  
1616 Capitol Avenue  
Omaha, NE 68102-4901

Telephone: 402-697-2424  
Facsimile: 402-697-2613  
E-mail: Brenda.S.Hodgins-Greco@usace.army.mil

d. Administered By:

Ms. KellieAnn F. Kachek  
U. S. Army Corps of Engineers  
Environmental and Munitions Center of Expertise  
ATTN: CEHNC-EMC (Kachek)  
1616 Capitol Avenue  
Omaha, NE 68102-4901

Telephone: (402) 697-2630  
Facsimile: (402) 697-2613  
E-mail: Kellieann.F.Kachek@usace.army.mil

- 10. REPORTING REQUIREMENTS:** In accordance with 2 CFR Part 200, the Recipient shall provide a copy of the following reports to their Federal State Manager with a copy to the Grants Officer: financial reports, performance reports, and annual funding reviews. The Recipient posts the required information for these reports on the DSMOA Portal <https://dsmoa.usace.army.mil> : Step 3 (Payments to States), Step 4 (Performance Reports) and Step 5 (annual Funding Reviews).
- 11. PAYMENTS:** Recipients shall submit electronic payment vouchers to the Federal Government no less frequently than once every three months and no more frequently than once per month. The Recipient shall send electronic payment requests to the U.S. Army Corps of Engineers Financial Representative identified in paragraph 9.c. above. Payments will be disbursed by:
- U.S. Army Corps of Engineers Finance Center  
Attn: CEFC-AO-P  
5722 Integrity Drive  
Millington, TN 38054-5005
- 12. OFFICIALS NOT TO BENEFIT:** No member of Congress, or resident commissioner, shall be admitted to any share or part of this agreement, or to any benefit arising from it, in accordance with 41 U.S.C. § 22.
- 13. CERTIFICATIONS AND REPRESENTATIONS:** By signing this agreement, the Recipient agrees to comply with the Certifications and Representations submitted with their application dated April 22, 2016.
- 14. FUNDING:** Notwithstanding the Recipient's application and budget information, the Federal Government is not obligated under this CA to reimburse the Recipient for costs incurred in excess of the awarded amount specified in the tables at Attachment B and any subsequent modification to this CA.

- a. The Component may modify and approve eligible services identified in the JEP as long as the total obligated amount remains unchanged. However, if there is a net change (e.g. increase/decrease) in funding or an installation is added/deleted on the Attachment A, the Grants Officer approval is required.
- b. Requests for additional funds may be made by the Recipient, and should be submitted at the time of the annual funding review or when the Recipient expends 80% of the funded amount, whichever comes first.
- c. The Recipient should not continue performance under this CA (including actions under the Termination Clause of this CA) or otherwise incur costs in excess of the amounts specified in the tables in Attachment B. The Government's obligation to pay or reimburse any costs hereunder is limited to the obligated/awarded amount. There is nothing in this agreement that will be interpreted to require performance or payments by the Federal Government in violation of the Anti-Deficiency Act.

**15. TERMINATION AND DISPUTE RESOLUTION:**

- a. Material Failure to Comply and Termination for Convenience. The Grants Officer may unilaterally take action to remedy a material failure to comply with the terms of the CA, including, but not limited to, temporarily withholding cash payments, disallowing all or part of the costs related to the activity or action not in compliance, wholly or partially suspending or terminating the CA, and/or withholding further awards, pursuant to the provisions of 2 CFR Part 200 and applicable federal law or by either party under termination for convenience pursuant to the provision of 2 CFR Part 200 and Section VI ("Termination") of the DSMOA.
- b. Dispute Resolution. The State and the Federal Government agree to resolve any disagreements between them in accordance with the terms of the DSMOA.

**16. INCORPORATED CIRCULARS AND REGULATIONS:** This agreement incorporates by reference all terms, conditions and provisions, not otherwise excepted herein, of OMB Circulars A-87 (2 CFR Part 225), A-102 and A-133, the applicable provisions of the DoD Grant and Agreement Regulations (DoDGARS) and 2 CFR Part 200.

In the event of a conflict between the terms of this agreement and other governing documents, the conflict shall be resolved by giving precedence in descending order as follows:

- a. The DoDGARS, 2 CFR Part 200 including applicable OMB Circulars;
- b. The DSMOA;



- c. The articles contained in this agreement.

OMB Circulars may be obtained from:  
<http://www.whitehouse.gov/OMB/circulars/>

The DoDGARS may be obtained from:  
<http://www.dtic.mil/whs/directives/corres/html/32106r.htm>

The Uniform Administrative Requirements from:  
[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

**17. CLOSE OUT:** Within 90 days after the expiration or termination of this CA, the Recipient must submit all financial, performance, and other reports required as a condition of the CA. Upon written request by the Recipient, the Government may extend the 90 day timeframe in accordance with 2 CFR Part 200.

**18. MODIFICATIONS:**

- a. **Bilateral Modifications.** Bilateral Modifications to this CA may be issued by the Grants Officer for any changes to the scope of work, Attachment A, any decrease in the funds specified in Attachment B or increase in funds specified in Attachment B due to an increase in scope of work, and any termination for convenience of the subject CA. Bilateral modifications require the signatures of an authorized representative of the Recipient and the Grants Officer.
- b. **Unilateral Modifications.** The Federal Government may implement administrative changes to this CA as unilateral modifications. For the purposes of this agreement, administrative changes include any increase in funds specified in Attachment B for work currently included within the scope of work, changes in the Grants Officer, points of contact specified for the Federal Government or Recipient, changes in addresses, phone numbers, email addresses, and corrections of obvious typographical or calculation errors. Unilateral modifications require the signature of the Grants Officer only.

**19. FOLLOW-ON COOPERATIVE AGREEMENTS:** In the event that the DSMOA Program continues beyond the expiration date of this CA and the Recipient seeks to continue to participate, the Recipient shall prepare and submit an application for a follow-on CA as generally described for the 6-Step Process. The Recipient must submit the application to the Federal Government no later than May 9, 2018. Early submittal of the application is highly recommended.

- 20. STATE'S RESERVATION OF RIGHTS:** Notwithstanding any other provision of this agreement, (a) the Recipient shall retain any statutory right it may have to recover costs incurred in association with providing services to the DoD not reimbursed under this agreement and (b) nothing herein shall limit the Recipient's rights established in the DSMOA nor the Recipient's reservation of rights set forth therein.
- 21. STATUTORY AUTHORITY:** This CA is entered into pursuant to and is subject to the requirements and limitations of 10 USC § 2701 (d).
- 22. SINGLE AUDIT ACT:** The Recipient that expends \$750,000 or more in a year in Federal Awards must have a Single or Program-Specific audit conducted in accordance with 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards; Subpart F.
- 23. INDIRECT RATE REQUIREMENT:**
- a. **Current Indirect Rate:** The Recipient shall provide the Grants Officer with a current approved indirect rate with the CA application.
  - b. **Expired Indirect Rate:**
    - i. If the Recipient does not have a Current Indirect Rate, this CA will be awarded based on the expired, but previously approved, indirect rate that was submitted with the CA application. At the discretion of the Grants Officer, this rate will be used as a temporary indirect cost rate applicable to a specified period, which is used for funding, interim reimbursement and reporting indirect costs on this CA pending the establishment of a current approved indirect rate.
    - ii. The Recipient shall submit an indirect cost proposal to the Cognizant Agency within three (3) months from the effective date of this agreement and provide the Grants Officer with a current approved indirect rate within six (6) months from the effective date of this agreement.
    - iii. The Grants Officer reserves the right to disallow indirect charges anytime during the six (6) month period if the recipient fails to submit an indirect proposal within three (3) months, fails to provide any required additional information requested by the Cognizant Agency in writing or fails to make good faith efforts to obtain a current approved indirect rate.

Department of Defense and State Memorandum of Agreement  
Cooperative Agreement W912DY-16-2-0248

On Behalf Of The State of Utah:

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Brad T. Johnson Date  
Deputy Director  
Utah Department of Environmental Quality

On Behalf Of The United States Of America:

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Felicia M. McBride Date  
Grants Officer

Legal Review By:

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Garry L. Brewer Date  
Huntsville Center, DSMOA Counsel

# ATTACHMENT A TO COOPERATIVE AGREEMENT DOD INSTALLATIONS COVERED BY THIS AGREEMENT

## State/Territory of Utah

Period: 7 - 01-JUL-16 thru 30-JUN-18

Created date: 5/12/2016 Contract No.: W912DY-16-2-0248

<u>Component / Funds Type</u>	<u>Installation</u>
AIR FORCE IR	1. SLC INTER AIRPORT (UANG)
AIR FORCE MMRP	1. DIRECT PROGRAM SUPPORT JEP (AIR FORCE: UT)
AIR FORCE MMRP	2. UTAH TEST & TRAINING RANGE EAST
AIR FORCE MMRP	3. UTAH TEST & TRAINING RANGE WEST
AIR FORCE MMRP	4. WENDOVER AFB PROP IN UT
ARMY BRAC LEGACY	1. DIRECT PROGRAM SUPPORT JEP (ARMY: UT)
ARMY BRAC LEGACY	2. OGDEN DEFENSE DIST DEPOT
ARMY BRAC LEGACY	3. TOOELE ARMY DEPOT
ARMY IR	1. DESERET CHEMICAL DEPOT
ARMY IR	2. DIRECT PROGRAM SUPPORT JEP (ARMY: UT)
ARMY IR	3. DUGWAY PROVING GROUNDS
ARMY IR	4. TOOELE ARMY DEPOT
ARMY MMRP	1. DIRECT PROGRAM SUPPORT JEP (ARMY: UT)
ARMY MMRP	2. DUGWAY PROVING GROUNDS
ARMY MMRP	3. TOOELE ARMY DEPOT
FUDS IR	1. WENDOVER AIR FORCE AUXILIARY FIELD (J08UT1001)
FUDS IR	2. WENDOVER BOMBING AND GUN RANGE (J08UT1099)
FUDS IR	3. WENDOVER SPECIAL WEAPONS BOMBING RANGE (J08UT1101)

**ATTACHMENT B TO COOPERATIVE AGREEMENT  
AWARD AMOUNT TABLES**

for UTAH

W912DY-16-2-0248

for the Period: July 01, 2016 thru June 30, 2018

Modification No.: 0	Mod Type: Initial	Date: May 12, 2016
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AIR FORCE			
Fund Type	Funded to Date	Funded this Action	Total Obligated
AIR FORCE IR	\$0.00	\$15,000.00	\$15,000.00
AIR FORCE MMRP	\$0.00	\$25,000.00	\$25,000.00

ARMY			
Fund Type	Funded to Date	Funded this Action	Total Obligated
ARMY IR	\$0.00	\$130,000.00	\$130,000.00
ARMY MMRP	\$0.00	\$35,000.00	\$35,000.00
ARMY BRAC LEGACY	\$0.00	\$25,000.00	\$25,000.00

FUDS			
Fund Type	Funded to Date	Funded this Action	Total Obligated
FUDS IR	\$0.00	\$25,000.00	\$25,000.00

Totals:	\$0.00	\$255,000.00	\$255,000.00
		Obligated Grand Total	\$255,000.00

	<b>U.S. ENVIRONMENTAL PROTECTION AGENCY</b>  <b>Cooperative Agreement</b>	<b>GRANT NUMBER (FAIN): 99818716</b>		<b>DATE OF AWARD</b> 05/09/2016	
		<b>MODIFICATION NUMBER: 0</b> <b>PROGRAM CODE: C9</b>		<b>MAILING DATE</b> 05/16/2016	
		<b>TYPE OF ACTION</b> New			<b>ACH#</b>
		<b>PAYMENT METHOD:</b> ACH			
<b>RECIPIENT TYPE:</b> State		<b>Send Payment Request to:</b> Las Vegas Financial Center- LVFC			
<b>RECIPIENT:</b> UT Department of Environmental Quality PO Box 144810 Salt Lake City, UT 84114-4810 EIN: 87-6000545		<b>PAYEE:</b> UT Dept of Environmental Quality-Office of Support/Finance P.O. Box 144810 Salt Lake City, UT 84114-4810			
<b>PROJECT MANAGER</b> JIM BOWCUTT PO BOX 144870 SALT LAKE CITY, UT: Utah 84114-4870 E-Mail: JDBOWCUTT@UTAH.GOV Phone: 801-536-4336		<b>EPA PROJECT OFFICER</b> Gary Kleeman 1595 Wynkoop Street Denver, CO 80202-1129 E-Mail: Kleeman.Gary@epa.gov Phone: 303-312-6246		<b>EPA GRANT SPECIALIST</b> Sam Fernandez REG; 08; OTMS, 8TMS-G E-Mail: Fernandez.Sam@epa.gov Phone: 303-312-6360	
<b>PROJECT TITLE AND DESCRIPTION</b> UT DEQ Nonpoint Source FY 2016 Implement programs, projects, and activities to abate or control nonpoint source pollution in Utah according to Project Implementation Plans (work plans) previously submitted to EPA under separate cover.					
<b>BUDGET PERIOD</b> 05/15/2016 - 05/14/2021	<b>PROJECT PERIOD</b> 05/15/2016 - 05/14/2021	<b>TOTAL BUDGET PERIOD COST</b> \$1,645,763.00	<b>TOTAL PROJECT PERIOD COST</b> \$1,645,763.00		
<b>NOTICE OF AWARD</b>					
<p>Based on your Application dated 03/22/2016 including all modifications and amendments, the United States acting by and through the US Environmental Protection Agency (EPA) hereby awards \$987,458. EPA agrees to cost-share 60.00% of all approved budget period costs incurred, up to and not exceeding total federal funding of \$987,458. Recipient's signature is not required on this agreement. The recipient demonstrates its commitment to carry out this award by either: 1) drawing down funds within 21 days after the EPA award or amendment mailing date; or 2) not filing a notice of disagreement with the award terms and conditions within 21 days after the EPA award or amendment mailing date. If the recipient disagrees with the terms and conditions specified in this award, the authorized representative of the recipient must furnish a notice of disagreement to the EPA Award Official within 21 days after the EPA award or amendment mailing date. In case of disagreement, and until the disagreement is resolved, the recipient should not draw down on the funds provided by this award/amendment, and any costs incurred by the recipient are at its own risk. This agreement is subject to applicable EPA regulatory and statutory provisions, all terms and conditions of this agreement and any attachments.</p>					
<b>ISSUING OFFICE (GRANTS MANAGEMENT OFFICE)</b>			<b>AWARD APPROVAL OFFICE</b>		
<b>ORGANIZATION / ADDRESS</b> Environmental Protection Agency, Region 8 1595 Wynkoop Street Denver, CO 80202-1129			<b>ORGANIZATION / ADDRESS</b> U.S. EPA, Region 8 Office of Ecosystem Protection and Remediation 1595 Wynkoop Street Denver, CO 80202-1129		
<b>THE UNITED STATES OF AMERICA BY THE U.S. ENVIRONMENTAL PROTECTION AGENCY</b>					
<b>Digital signature applied by EPA Award Official</b> Bethany Mills -				<b>DATE</b> 05/09/2016	

## EPA Funding Information

FUNDS	FORMER AWARD	THIS ACTION	AMENDED TOTAL
EPA Amount This Action	\$	\$ 987,458	\$ 987,458
EPA In-Kind Amount	\$	\$	\$ 0
Unexpended Prior Year Balance	\$	\$	\$ 0
Other Federal Funds	\$	\$	\$ 0
Recipient Contribution	\$	\$	\$ 0
State Contribution	\$	\$ 246,667	\$ 246,667
Local Contribution	\$	\$ 0	\$ 0
Other Contribution	\$	\$ 411,638	\$ 411,638
Allowable Project Cost	\$ 0	\$ 1,645,763	\$ 1,645,763

Assistance Program (CFDA)	Statutory Authority	Regulatory Authority
66.460 - Nonpoint Source Implementation	Clean Water Act: Sec. 201(g)(1)(B) Under Sec. 319(h)	2 CFR 200 2 CFR 1500 40 CFR 33 and 40 CFR 35 Subpart A

Fiscal									
Site Name	Req No	FY	Approp. Code	Budget Organization	PRC	Object Class	Site/Project	Cost Organization	Obligation / Deobligation
-	1608LGR006	16	E1	08L5	202B01	4117			977,458
-	1608LGR006	16	E1	08L5	202B01	4117			10,000
									987,458

## Budget Summary Page

Table A - Object Class Category (Non-construction)	Total Approved Allowable Budget Period Cost
1. Personnel	\$0
2. Fringe Benefits	\$0
3. Travel	\$0
4. Equipment	\$0
5. Supplies	\$0
6. Contractual	\$1,645,763
7. Construction	\$0
8. Other	\$0
9. Total Direct Charges	\$1,645,763
10. Indirect Costs: % Base	\$0
11. Total (Share: Recipient <u>40.00</u> % Federal <u>60.00</u> %.)	\$1,645,763
12. Total Approved Assistance Amount	\$1,645,763
13. Program Income	\$0
14. Total EPA Amount Awarded This Action	\$987,458
15. Total EPA Amount Awarded To Date	\$987,458



1. DATE ISSUED MM/DD/YYYY 08/19/2016  
 2. CFDA NO. 93.068  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 [AWARD AUTHORITY NOT DEFINED FOR DP16-1601]

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 1 NU58DP001005-01-00  
 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/30/2016 Through 09/29/2021

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/30/2016 Through 09/29/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 Promoting Population Health through Increased Capacity in Alcohol Epidemiology in Utah

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142001  
 Disease Control and Prevention  
 Salt Lake City, UT 84114-2001

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Trisha Keller  
 PO Box 142001  
 Disease Control and Prevention  
 Salt Lake City, UT 84114-2001  
 Phone: (801) 538-6865

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Marissa Esser  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 770-488-5463

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <b>I</b>	
a. Salaries and Wages .....	62,695.00
b. Fringe Benefits .....	33,257.00
c. Total Personnel Costs .....	95,952.00
d. Equipment .....	0.00
e. Supplies .....	2,140.00
f. Travel .....	2,413.00
g. Construction .....	0.00
h. Other .....	21,926.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	122,431.00
k. INDIRECT COSTS	12,186.00
l. TOTAL APPROVED BUDGET	134,617.00
m. Federal Share	134,617.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	134,617.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	134,617.00
13. Total Federal Funds Awarded to Date for Project Period	134,617.00

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a.	DEDUCTION	
b.	ADDITIONAL COSTS	
c.	MATCHING	
d.	OTHER RESEARCH (Add / Deduct Option)	
e.	OTHER (See REMARKS)	

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Kang Lee

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZRJD	b. 16DP001005	c. 93.068	d. DP	e. \$134,617.00	f. 75-16-0948
22. a.	b.	c.	d.	e.	f.
23. a.	b.	c.	d.	e.	f.

# AWARD ATTACHMENTS

Utah Department of Health

1 NU58DP001005-01-00

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1. Terms and Conditions
2. Summary Statement

Funding Opportunity Announcement (FOA) Number: DP16-1608  
Award Number: 1 NU58DP001005-01  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DP16-1608, entitled "Promoting Population Health through Increased Capacity in Alcohol Epidemiology", and application dated April 15, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$134,617 is approved for the Year FY 2016 budget period, which is September 30, 2016 through September 29, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Summary Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, October 31, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

**Addition alternative:** Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

### FUNDING RESTRICTIONS AND LIMITATIONS

**Indirect Costs:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.7% of the base, which includes, total direct costs excluding capital expenditures, that portion of each subaward in excess

of \$25,000 and flow-through funds. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the

viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by December 31, 2017. Reporting timeframe is September 30, 2016 through September 29, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, September 29, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:** Domestic Organizations (*including US-based organizations implementing projects with foreign components*): An organization that expends \$750,000 or more in a fiscal year in

Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action

that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;

- Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
  - Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
  - Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
  - Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
    - Salary and bonus
    - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
    - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
    - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
    - Above-market earnings on deferred compensation which is not tax-qualified.
    - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at

<http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html> .

In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.



**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by May 31, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 1 NU58DP001005-01, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting

author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that

pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to

a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)

- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “P Account”. A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: 16DP001005  
Subaccount Title: DP16-1608-COOPAGFY16

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles

and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Kang Lee, Grants Management Officer  
Centers for Disease Control  
Chronic Diseases and Birth Defects  
2920 Brandywine Road Colgate MS E-09  
Atlanta, GA 30341  
Telephone: 770-488-2853  
Email: kil8@cdc.gov

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:**

Cynthia Hill, Grants Management Specialist  
Centers for Disease Control  
Chronic Diseases and Birth Defects

2920 Brandywine Road Colgate MS E-09  
Atlanta, GA 30341  
Telephone: 770-488-2942  
Email: lwd9@cdc.gov

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission

- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Jessica Mesnick, Project Officer  
Centers for Disease Control  
Chronic Disease Prevention & Health Promotion  
4770 Buford Hwy, MS F78  
Atlanta, GA 30341  
Telephone: 770-488-8063  
Email: gla5@cdc.gov

**PROGRAM ANNOUNCEMENT DP16-1608**  
*Promoting Population Health through Increase Capacity in Alcohol Epidemiology*  
**Summary Statement**  
**(Privileged Information)**

**REVIEW DATE: May 18, 2016**

**APPLICANT: Utah Department of Health**

**EVALUATION SCORE: 92.66**

**PROJECT SUMMARY**

The Utah Department of Health Violence and Injury Prevention Program (VIPP) is applying to build capacity in alcohol epidemiology, which is needed because Utah is a state experiencing a high frequency and intensity of binge drinking and a high rate of alcohol poisoning deaths. The overall goals of this project are to: 1) expand and maximize Utah's capacity in alcohol epidemiology; 2) increase the implementation of evidence-based strategies recommended by the Community Prevention Services Task Force, and 3) provide expertise and guidance to stakeholders and the public on the prevention of excessive drinking and related harms. The grant will be useful in providing funding for a dedicated epidemiologist with the time and expertise needed to make a complete annual report on excessive drinking and related harms, identify linkages between data, provide in-depth analyses, and make recommendations for practice and policy based on the data. In addition, the epidemiologist will craft reader-friendly fact sheets that can be tailored to specific audiences, and create robust alcohol-related indicators. The project proposes publishing a comprehensive report on excessive alcohol use and related harms and one fact sheet focusing on excessive drinking among disparate populations. The VIPP Program Manager (Patricia Keller, principal investigator) will provide policy expertise and assist the Alcohol Epidemiologist with policy activities. The VIPP Epidemiology Team Supervisor (Anna Fondario) will supervise the Alcohol Epidemiologist. Ms. Fondario will complete data-sharing agreements with several partners. The Evaluation Team, including Ms. Fondario, the Alcohol Epidemiologist, the Behavioral Risk Factor Surveillance System (BRFSS) Analyst (Shelly Wagstaff, lead evaluator), a statistician (Michael Friedrichs) will collect, analyze, and interpret data on the frequency and intensity of excessive alcohol use and related harms. The Applicant proposes conducting a geospatial analysis of the relationship between distribution of alcohol outlets and health risks. The epidemiologist will then identify gaps in data and potential data sources; and identify evidence-based policies and environmental strategies that address excessive drinking and related harms in Utah. The media coordinator (Katie McMinn) will assist with the dissemination of findings. The Utah Department of Health (UDOH) is a member of the Utah Alcohol Abuse Tracking Committee (AATC), created in 2012. Additional partners include the State Epidemiologic Outcomes Workgroup (SEOW); Surveillance, Evaluation, Epidemiology, and Data Workgroup (SEED); the Division of Substance Abuse and Mental Health (DSAMH), Department of Alcohol Beverage Control (DABC), Utah Substance Abuse Advisory Council (USAAC), the Utah State Office of Education (USOE), and the Department of Public Safety (DPS). Existing staff have been trying to address excessive alcohol use in Utah; however, without a dedicated Alcohol Epidemiologist, it has not been possible to achieve key objectives related to the prevention of excessive drinking in the state. Support staff from the VIPP within the Utah



Department of Health's Bureau of Health Promotion will collaborate with key program partners, such as the Data and Evaluation workgroup of the AATC, to implement the Evaluation and Performance Measurement Plan, demonstrate achievement of identified outcomes, and build a stronger evidence base for reducing excessive alcohol use and related harms.

### **Strengths:**

- The Violence and Injury Prevention Program (VIPP) where the Alcohol Epidemiologist will be located has substantial experience in surveillance, conducting quality assurance activities, and generating data reports.
- The Alcohol Epidemiologist hired through this grant will benefit from the expertise of epidemiologists working in tobacco prevention and control, as well as those working with other chronic diseases.
- The applicant proposes adding a set of alcohol-related indicators to the Indicator Based Information System for Public Health (IBIS) that will provide a more complete picture of alcohol use in Utah for use by researchers, public health professionals, and the general public. The Applicant also plans to evaluate the usefulness of other existing surveillance systems for assessing excessive alcohol use and related harms, and will consider adding state-added questions on excessive drinking to the Behavioral Risk Factor Surveillance System (BRFSS).
- The applicant proposes using state-specific data on excessive alcohol use and related harms to inform the use of evidence-based strategies recommended by the Community Preventive Services Task Force.
- The Alcohol Epidemiologist will examine the frequency and intensity of drinking and conduct a geospatial analysis of the relationship between the distribution of retail alcohol outlets and health risks. This will help Utah evaluate whether the location of state liquor stores and other alcohol outlets are associated with excessive alcohol use and related harms.
- The Applicant's proposed activities will promote improved collaboration between the UDOH and stakeholders (coalitions and workgroups) on the prevention of excessive alcohol use and related harms, and will utilize the expertise of the multi-disciplinary Utah Alcohol Abuse Tracking Committee (AATC).
- The Applicant provides sufficient evidence of their ability to develop and continuously improve/enhance surveillance methodologies.

### **Weaknesses:**

- The Applicant indicates that members of the State Epidemiologic Outcomes Workgroup (SEOW) will advise on efforts to improve data collection and analysis; some members of the SEOW may have an addiction-oriented focus, with less knowledge of important surveillance and monitoring activities needed to prevent excessive alcohol use in the general population.
- The Applicant highlights the value of the Indicator Based Information System for Public Health (IBIS), but does not provide detail on which alcohol-related indicators will be added or how they will be determined.
- The Applicant does not provide an organizational chart.

### **Major Recommendations:**

- The Applicant should consider administering the 2008 BRFSS binge drinking module if funds permit, and/or using the questions from the binge drinking module in the Indicator

Based Information System for Public Health (IBIS).

- When planning evaluation activities, the Alcohol Epidemiologist should participate in the dissemination of findings, in collaboration with the other staff members that the applicant listed as being involved in this project.
- Although the alcohol epidemiologist will be based in the Violence and Injury Prevention Program (VIPP), the Applicant also needs to assess chronic disease outcomes related to excessive alcohol use as well (drawing on the experience Mr. Friedrichs).

**Budget:**

- The Applicant should consider implementing the BRFSS binge drinking module.
- The Applicant should assure that the Alcohol Epidemiologist receives ongoing assistance and support from a senior epidemiologist in the UDOH, in addition to the 5% allocated for Ms. Fondario.
- The Applicant should move all items listed in the “Equipment” category to the “Supplies” category. The total for “Supplies” should be  $\$1840 + \$300 = \mathbf{\$2,140}$ .

Recommendation: (check one)

Approve  [X]

Disapprove  [ ]

1. DATE ISSUED MM/DD/YYYY 08/19/2016  
 2. CFDA NO. 93.136  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated 01/23/2016  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 6 NUF2CE002446-03-01  
 Formerly 5UF2CE002446-03  
 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY  
 From 02/01/2014 Through 01/31/2019

7. BUDGET PERIOD MM/DD/YYYY  
 From 02/01/2016 Through 01/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 SEC 301,317,&391A 42USC241,247B&280B-B3

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH RAPE PREVENTION AND EDUCATION PROGRAM

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142106  
 Salt Lake City, UT 84114-2106

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Tricia Keller  
 PO BOX 142106  
 SALT LAKE CITY, UT 84114-2106  
 Phone: 801-588-6865

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Kristy L Orisma  
 4770 Buford Hwy  
 DVP PPTB  
 Atlanta, GA 30341  
 Phone: 770-488-0043

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	145,700.00
b. Fringe Benefits .....	70,687.00
c. Total Personnel Costs .....	216,387.00
d. Equipment .....	8,312.00
e. Supplies .....	3,683.00
f. Travel .....	7,770.00
g. Construction .....	0.00
h. Other .....	12,937.00
i. Contractual .....	275,239.00
j. TOTAL DIRECT COSTS →	524,328.00
k. INDIRECT COSTS	22,909.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>547,237.00</b>
m. Federal Share	547,237.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	547,237.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	363,516.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>183,721.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>1,249,356.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a.		d.	
b.		e.	
c.		f.	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Barbara (Rene) Benyard, Grants Management Officer, Team Lead**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZSFL	b. 002446RP14	c. 93.136	d. CE	e. \$183,721.00	f. 75-16-0952
22. a.	b.	c.	d.	e.	f.
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/19/2016
GRANT NO. 6 NUF2CE002446-03-01	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NUF2CE002446-03-01

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1. Utah Terms and Conditions

Funding Opportunity Announcement (FOA) Number: CE14-14010101SUPP16

Award Number: 6 NUF2CE002446-03-01

Award Type: Cooperative Agreement

Applicable Cost Principles: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CE14-14010101SUPP, entitled **Rape Prevention and Education Program Evaluation (RPE)**, and application dated July 21, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NOA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NOA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Approved Funding:** Funding in the amount of **\$183,721** is approved for the Year 03 budget period, which is **February 1, 2016** through **January 31, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

**Note:** Refer to the Payment Information section for draw down and Payment Management System (PMS) sub-account information.

**Summary Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NOA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, October 3, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By October 3, 2016 the grantee must submit a revised budget based on \$9,669 reduction which revised contractual and other cost category. In addition for the following cost categories listed below:

**Contractual Conditional Approval:** Conditional approval in the amount of \$60,000 for allocation of 15 (\$2,000 each) computers and 15 (\$2,000 each) boost participation activities for contractual sites. Your submission is requested within 30 days of this award. The required contractual elements are:

1. Name
2. Method of Accountability
3. Itemized Budget and Justification (travel, per diem—list by category)

**Other Cost Category:** Conditional approval for overage (\$4,779) of indirect cost which requires itemization or redirection to an allowable cost category. Your submission is requested within 30 days of this award.

**Note:** Based on awarded amount of \$183,721, indirect Costs were recalculated to \$8,521.

## Program Income:

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

## FUNDING RESTRICTIONS AND LIMITATIONS

**Programmatic Restriction(s):** Applicants must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1c]). The legislation stipulates the following: Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.

**Indirect Costs:** Indirect costs are not applicable to this award.

**Administrative Costs:** In accordance with Congressional legislation, Section 393B of the Public Health Service Act [42 U.S.C. 280b-1c], in lieu of indirect costs, the recipient may not use more than five percent of the amount received for each fiscal year for administrative costs.

**Surveillance/Prevalence Costs:** Grantees may not use more than two percent of the total RPE award for each budget year for surveillance studies or prevalence studies in accordance with the RPE regulations.

### Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC

Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); and 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122). The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2016. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted through eRA Commons no later than 90 days after the end of the calendar quarter in which the budget period ends. The FFR for this budget period is due to the GMS/GMO by June 30, 2017. Reporting timeframe is February 1, 2016 through January 31, 2017.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

FFR (SF-425) instructions for CDC Grantees are available at <http://grants.nih.gov/grants/forms.htm>. For further information, contact [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Additional resources concerning the eFSR/FFR system, including a User Guide and an on-line demonstration, can be found on the [eRA Commons](#) Support Page:



<http://grants.nih.gov/support/>.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

Performance Reporting: The Annual Performance Report is due no later than 120 days prior to the end of the budget period, October 3, 2016, and serves as the continuing application. This report should include the information specified in the FOA.

### **Audit Requirement**

Domestic Organizations (***including US-based organizations implementing projects with foreign components***): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Procurement & Grants Office, Risk Management & Compliance Activity

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Sub recipients: The grantee must ensure that the sub recipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the sub recipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether sub recipient audits necessitate adjustment of the grantee's own accounting records. If a sub recipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of sub recipient activities. The grantee shall require each sub recipient to permit the independent auditor access to the sub recipient's records and financial statements. The grantee must include this requirement in all sub recipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

### **Federal Funding Accountability and Transparency Act (FFATA):**

***In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.***

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov)

#### Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if: In the sub-recipient's preceding fiscal year, the sub-recipient received—

- 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
- \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st

and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NOA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at <http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html> . In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director

named on this NOA. The grantee must submit these requests by **October 3, 2016** or no later than 120 days prior to this budget period's end date. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the most recently approved budget
- Apply for supplemental funds
- Response to the Objective/Technical Review Statement
- Change in key personnel
- Extensions
- Conferences or meetings that exceed cost threshold

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 6 NUF2CE002446-03-01

, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the

final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "sub grant," or "sub grantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

#### **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533\_  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true) International Payment Branch:

Bhavin Patel (301) 492-4918\_  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A "P Account" is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **002446RP14**  
Subaccount Title: **CE141401RAPEPREVEDUC**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NOA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

#### **CDC ROLES AND RESPONSIBILITIES**

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is 09/01/2016 through 08/31/2019. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NOA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.



**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Barbara Rene' Benyard, Grants Management Officer  
Centers for Disease Control  
Office of Grant Services  
Office of the Director, Environmental, Occupational Health, and  
Injury Prevention Branch (OSDB)  
2920 Brandywine Road, Mail Stop E01  
Atlanta, GA 30341-4146  
Telephone: 770-488-2757  
Fax: 770-488-2640  
Email: [bnb8@cdc.gov](mailto:bnb8@cdc.gov)

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**GMS Contact:**

Darryl Mitchell, Grants Management Specialist  
Centers for Disease Control  
Office of Grant Services  
Office of the Director, Environmental, Occupational Health, and  
Injury Prevention Branch (OSDB)  
2920 Brandywine Road, Mail Stop E01  
Atlanta, GA 30341-4146  
Telephone: 770-488-2747  
Fax: 770-488-2640  
Email: [dvm1@cdc.gov](mailto:dvm1@cdc.gov)

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

**Krista Orisma**, Project Officer  
Centers for Disease Control  
National Center for Injury Prevention and Control  
4770 Buford Highway, NE, Mail Stop F-64  
Atlanta, Georgia 30341  
Telephone: (770) 488-0043  
Fax: (770) 488-4349  
Email: [lgj9@cdc.gov](mailto:lgj9@cdc.gov)

**FUNDING OPPORTUNITY ANNOUNCEMENT NUMBER:  
CDC-RFA-CE14-1401  
*Rape Prevention and Education Program Evaluation***

**Objective Review Summary Statement**

Date Reviewed: July 22, 2016	
Applicant Name: Utah Department of Health	
Application Number: NUF2CE2016000066	Amount Requested: \$193,390
<b>Application Score: 61 Points</b>	

**SUMMARY OF PROJECT**

The Utah Department of Health (UDOH) requests supplemental funding for its Violence and Injury Prevention Program (VIPP) to expand existing evaluation capacity and increase monitoring of state level indicators of sexual violence outcomes. VIPP will continue to use the existing evaluation plan focused on the stated Centers for Disease Control and Prevention (CDC) priorities, while working to improve the plan to better reflect the outcomes components and how Utah Rape Prevention (RPE) efforts contribute to selected outcomes.

Should the applicant receive CDC supplemental funding they plan to: 1) Document and inform implementation of the grant goals, objectives, and activities to ensure continuous program improvement and a public health approach; 2) Determine the extent of social norm adaptations that support healthy, respectful, relationships throughout the lifespan; 3) Measure changes in risk and protective factors of victimization and perpetration; 4) Determine effectiveness of sexual violence prevention strategies; and 5) Measure effectiveness of technical assistance efforts and trainings.

**OBJECTIVES**

- Acquire and train staff for program evaluation and monitoring.
- Develop an outcome measures component to become part of the RPE evaluation plan.
- Conduct an assessment of Utah's current capacity to monitor sexual violence indicators.
- Develop and implement recommendations to increase monitoring of Utah's sexual violence (SV) indicators.
- Identify indicators to monitor outcomes stated in the program evaluation plan.
- Participate in CDC-sponsored activities.

**ABILITY TO TRACK STATE-LEVEL SV INDICATORS OVER TIME**

*Summary of Strengths*

- UDOH VIPP is the only state agency responsible for injury data collection and analysis and for tracking, developing, and implementing injury prevention and policy strategies for both injury and violence.

- VIPP has a long history of tracking state level data over time through many different data systems and currently incorporates a variety of data systems such as injury mortality and morbidity, the violent death reporting system, and the student injury reporting system.
- There is not currently a statewide data system in place that monitors SV indicators; therefore, the supplemental funding resources would fill a significant gap.

*Summary of Weaknesses*

- None noted.

*Recommendations*

- None noted.

**PERSONNEL**

*Summary of Strengths*

- The UDOH VIPP was established over 30 years ago and is well-respected locally and nationally for its injury surveillance, program planning, implementation, and evaluation. VIPP has the experience and capacity to manage this grant.
- A staffing plan is described that includes a Violence Prevention Coordinator, Rape Prevention Specialist, RPE Evaluator, and the Evaluation Team to support program evaluation and monitoring.
- Tasks include surveillance, epidemiology, monitoring and evaluation, statistics, and quality improvement.
- The Evaluation Team consist of 3 epidemiologist and an evaluator.
- Additionally, the applicant has 20 full-time equivalent staff persons dedicated to violence and injury prevention surveillance and prevention activities.
- Should the CDC supplemental funding be received, the applicant will begin the requisition process to hire an evaluator specifically for RPE program activities.
- Strong letters of support (LOS) are provided from the Intentional Injury Prevention Coordinator, RPE Director from the UDOH, and the Executive Director of the Utah Coalition Against Sexual Assault.

*Summary of Weaknesses*

- The narrative indicates that the program will be implemented by the Violence Prevention Coordinator, Rape Specialist, RPE Evaluator and the Evaluation Team. However, in the budget justification, the description of salary and wages lists the RPE Coordinator and RPE Director as staff to be included in the budget. It is unclear if the positions listed as Violence Prevention Coordinator and Rape Prevention Specialist are equivalent or different from the RPE Coordinator and RPE Director Staff positions described.
- The evaluation team is listed as having 3 epidemiologist and one evaluator. However, their experience, roles, and responsibilities are not described. The resumes provided are not well-aligned with the staff listed in the application.

*Recommendations*

- Clearly describe each staff member who will be participating in the implementation of program activities and the monitoring and evaluation efforts by current title and function.

## **PROGRAM EVALUATION**

### *Summary of Strengths*

- A detailed logic model and program evaluation plan is outlined that specifies RPE-funded prevention strategies currently being implemented.
- Overall, the proposed evaluation plan adequately describes the RPE-funded prevention strategies currently being implemented by local programs.
- The application states that youth 11 through 25 years of age across various settings will be the target populations.
- The proposed evaluation plan clearly describes how risk and protective factors link with program strategies.
- The projected goals / objectives described are specific, measurable, achievable, relevant, and time-phased (SMART) and data sources and data collection methods are specified for each.
- The importance of including stakeholders, their role in implementing the evaluation plan, and thoughts around how and when to engage stakeholders are briefly described.

### *Summary of Weaknesses*

- None noted.

### *Recommendations*

- None noted.

## **COMMITMENT TO IMPLEMENT RECOMMENDATIONS**

### *Summary of Strengths*

- Although the applicant has not completed an assessment, they propose a process to assess the current state capacity to monitor SV indicators.
- A strong LOS is provided from the UT DOH that outlines its intent to implement recommendations to improve and dedication to increasing the applicant's capacity to monitor SV indicator data.

### *Summary of Weaknesses*

- It is unclear whether a tool has been identified with which to measure the current state capacity. The plan suggests that this activity is to be completed by December 2015.
- A process is proposed to assess the current state capacity to monitor SV indicators to be completed and published by February 2016.

### *Recommendations*

- Clarify the timeframe for the identification of an evaluation capacity assessment tool and the completion of a state capacity assessment.

## **BUDGET (NOT SCORED)**

### *Summary of Strengths*


- A detailed budget and narrative justification are provided that describe proposed program personnel with job descriptions, fringe benefits, equipment, travel, supplies and other expenses.
- An appropriate description is provided of contractual expenditures that will include the work / task of the sub-recipients. The summary details the method of selection, period of performance, scope of work, method of accountability, and an itemized budget and justification.
- Total direct and indirect costs are calculated correctly using the indirect rate of 12.7%

### *Summary of Weaknesses*

- The narrative indicates that the program will be implemented by the Violence Prevention Coordinator, Rape Specialist, RPE Evaluator and the Evaluation Team. However, on the budget justification the description of salary and wages list RPE Coordinator and RPE Director as staff to be included in the budget. It is unclear if the positions listed as Violence Prevention Coordinator and Rape Prevention Specialist are equivalent or different from the RPE Coordinator and RPE Director staff positions described.

### *Recommendations*

- Clearly describe how the Violence Prevention Coordinator and Rape Prevention Specialist, and RPE Coordinator and RPE Director as staff positions differ or are the same.
- Make a statement to clarify whether the aforementioned positions are existing positions or will be new staff hired after funding is awarded.

<b>1. DATE ISSUED:</b> 08/05/2016		<b>2. PROGRAM CFDA:</b> 93.110		 <p>U.S. Department of Health and Human Services <b>HRSA</b> Health Resources and Services Administration</p> <p><b>NOTICE OF AWARD</b> AUTHORIZATION (Legislation/Regulation) Social Security Act, Title V, 42 U.S.C. 701 Social Security Act, Title V Title V, Section 502 (a)(1) of the Social Security Act, as amended Social Security Act § 501(a)(2-3), 42 U.S.C. § 701(a)(2-3) Section 501(a)(2) of the Social Security Act Social Security Act, Title V, § 501(a)(2), as amended (42 U.S.C. 701(a)(2))</p>
<b>3. SUPERSEDES AWARD NOTICE dated:</b> except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.				
<b>4a. AWARD NO.:</b> 5 D70MC27550-03-00	<b>4b. GRANT NO.:</b> D70MC27550	<b>5. FORMER GRANT NO.:</b>		
<b>6. PROJECT PERIOD:</b> <b>FROM:</b> 09/01/2014 <b>THROUGH:</b> 08/31/2017				
<b>7. BUDGET PERIOD:</b> <b>FROM:</b> 09/01/2016 <b>THROUGH:</b> 08/31/2017				

**8. TITLE OF PROJECT (OR PROGRAM):** Integrated Community Systems for CSHCN

<b>9. GRANTEE NAME AND ADDRESS:</b> DEPARTMENT OF HEALTH UTAH 144610 PO Box Salt Lake City, UT 84114-4610 <b>DUNS NUMBER:</b> 959347972	<b>10. DIRECTOR:</b> (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR) Alfred N Romeo DEPARTMENT OF HEALTH UTAH Division Line: Utah Department of Health PO BOX 144610 Salt Lake City, UT 84114-4610
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<b>11. APPROVED BUDGET:</b> (Excludes Direct Assistance) <input checked="" type="checkbox"/> Grant Funds Only <input type="checkbox"/> Total project costs including grant funds and all other financial participation	<b>12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE:</b>																																																				
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**15. PROGRAM INCOME SUBJECT TO 45 CFR 75.307 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**  
**A=Addition B=Deduction C=Cost Sharing or Matching D=Other** **[A]**  
 Estimated Program Income: \$0.00

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS 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 cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 75 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS:** (Other Terms and Conditions Attached  Yes  No)

*Electronically signed by Tammy Ponton , Grants Management Officer on : 08/05/2016*

<b>17. OBJ. CLASS:</b> 41.51	<b>18. CRS-EIN:</b> 1876000545C1	<b>19. FUTURE RECOMMENDED FUNDING:</b> \$0.00
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FY-CAN	CFDA	DOCUMENT NO.	AMT. FIN. ASST.	AMT. DIR. ASST.	SUB PROGRAM CODE	SUB ACCOUNT CODE
16 - 3894150	93.110	14D70MC27550	\$300,000.00	\$0.00		14-CYSHCN



## HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPSExternal/Interface/common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-Go4-HRSA/877-464-4772.

## Terms and Conditions

**Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.**

### Grant Specific Term(s)

1. The funds for this award are sub-accounted in the Payment Management System (PMS) and will be in a P type (sub accounted) account. This type of account allows recipients to specifically identify the individual grant for which they are drawing funds and will assist HRSA in monitoring the award. If your organization previously received a grant under this program, it was in a G type (cash pooled) account designated by a PMS Account Number ending in G or G1. Now that this grant is sub accounted the PMS Account Number will be changed to reflect either P or P1. For example, if the prior year grant was in payee account number 2AAG it will now be in 2AAP. Similarly, if the prior year grant was in payee account 2AAG1, the grant will be in payee account 2AAP1. The P sub account number and the sub account code (provided on page 1 of this Notice of Award) are both needed when requesting grant funds.

You may use your existing PMS username and password to check your organizations P account access. If you do not have access, complete a PMS Access Form (PMS/FFR Form) found at: [http://www.dpm.psc.gov/grant\\_recipient/grantee\\_forms.aspx](http://www.dpm.psc.gov/grant_recipient/grantee_forms.aspx) and send it to the fax number indicated on the bottom of the form. If you have any questions about accessing PMS, contact the PMS Liaison Accountant as identified at: <http://www.dpm.psc.gov/contacts/contacts.aspx>.

2. Effective December 26, 2014, all references to OMB Circulars for the administrative and audit requirements and the cost principles that govern Federal monies associated with this award are superseded by the Uniform Guidance 2 CFR 200 as codified by HHS at 45 CFR 75.
3. This Notice of Award is issued based on HRSA's approval of the Non-Competing Continuation (NCC) Progress Report. All post-award requests, such as significant budget revisions or a change in scope, must be submitted as a Prior Approval action via the Electronic Handbooks (EHBs) and approved by HRSA prior to implementation. Grantees under "Expanded Authority," as noted in the Remarks section of the Notice of Award, have different prior approval requirements. See "Prior-Approval Requirements" in the DHHS Grants Policy Statement:

<http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>

### Standard Term(s)

1. Recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions outlined in applicable Department of Health and Human Services (HHS) Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts.
2. All discretionary awards issued by HRSA on or after October 1, 2006, are subject to the HHS Grants Policy Statement (HHS GPS) unless otherwise noted in the Notice of Award (NoA). Parts I through III of the HHS GPS are currently available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>. Please note that the Terms and Conditions explicitly noted in the award and the HHS GPS are in effect.
3. HRSA requires grantees to use the following acknowledgement and disclaimer on all products produced by HRSA grant funds:

*"This project is/was supported by the Health Resources and Services Administration (HRSA) of the U.S. Department of Health and Human Services (HHS) under grant number and title for grant amount (specify grant number, title, total award amount and percentage financed with nongovernmental sources). This information or content and conclusions are those of the author and should not be construed as the official position or policy of, nor should any endorsements be inferred by HRSA, HHS or the U.S. Government."*

Grantees are required to use this language when issuing statements, press releases, requests for proposals, bid solicitations, and other HRSA supported publications and forums describing projects or programs funded in whole or in part with HRSA funding. Examples of HRSA-supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies and issues briefs.

4. Recipients and sub-recipients of Federal funds are subject to the strictures of the Medicare and Medicaid anti-kickback statute (42 U.S.C. 1320a - 7b(b)) and should be cognizant of the risk of criminal and administrative liability under this statute, specifically under 42 U.S.C. 1320 7b(b) Illegal remunerations which states, in part, that whoever knowingly and willfully: (A) Solicits or receives (or offers or pays) any remuneration (including kickback, bribe, or rebate) directly or indirectly, overtly or covertly, in cash or in kind, in return for referring (or to induce such person to refer) an individual to a person for the furnishing or arranging for the furnishing of any item or service, OR (B) In return for purchasing, leasing, ordering, or recommending purchasing, leasing, or ordering, or to purchase, lease, or order, any goods, facility, services, or item ....For which payment may be made in whole or in part under subchapter XIII of this chapter or a State health care program, shall be guilty of a felony and upon conviction thereof, shall be fined not more than \$25,000 or imprisoned for not more than five years, or both.
5. Items that require prior approval from the awarding office as indicated in 45 CFR Part 75 [Note: 75 (d) HRSA has not waived cost-related or administrative prior approvals for recipients unless specifically stated on this Notice of Award] or 45 CFR Part 75 must be submitted in writing to the Grants Management Officer (GMO). Only responses to prior approval requests signed by the GMO are considered valid. Grantees who take action on the basis of responses from other officials do so at their own risk. Such responses will not be considered binding by or upon the HRSA.  
In addition to the prior approval requirements identified in Part 75, HRSA requires grantees to seek prior approval for significant rebudgeting of project costs. Significant rebudgeting occurs when, under a grant where the Federal share exceeds \$100,000, cumulative transfers among direct cost budget categories for the current budget period exceed 25 percent of the total approved budget (inclusive of direct and indirect costs and Federal funds and required matching or cost sharing) for that budget period or \$250,000, whichever is less. For example, under a grant in which the Federal share for a budget period is \$200,000, if the total approved budget is \$300,000, cumulative changes within that budget period exceeding \$75,000 would require prior approval). For recipients subject to 45 CFR Part 75, this requirement is in lieu of that in 45 CFR 75 which permits an agency to require prior approval for specified cumulative transfers within a grantee's approved budget. [Note, even if a grantee's proposed rebudgeting of costs falls below the significant rebudgeting threshold identified above, grantees are still required to request prior approval, if some or all of the rebudgeting reflects either a change in scope, a proposed purchase of a unit of equipment exceeding \$25,000 (if not included in the approved application) or other prior approval action identified in Part 75 unless HRSA has specifically exempted the grantee from the requirement(s).]
6. Payments under this award will be made available through the DHHS Payment Management System (PMS). PMS is administered by the Division of Payment Management, Financial Management Services, Program Support Center, which will forward instructions for obtaining payments. Inquiries regarding payments should be directed to: ONE-DHHS Help Desk for PMS Support at 1-877-614-5533 or [PMSSupport@psc.hhs.gov](mailto:PMSSupport@psc.hhs.gov). For additional information please visit the Division of Payment Management Website at [www.DPM.PSC.GOV](http://www.DPM.PSC.GOV).
7. The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous. Contact: Office of Inspector General, Department of Health and Human Services, Attention: HOTLINE, 330 Independence Avenue Southwest, Cohen Building, Room 5140, Washington, D. C. 20201, Email: [Htips@os.dhhs.gov](mailto:Htips@os.dhhs.gov) or Telephone: 1-800-447-8477 (1-800-HHS-TIPS).
8. Submit audits, if required, in accordance with 45 CFR Part 75, to: Federal Audit Clearinghouse Bureau of the Census 1201 East 10th Street Jefferson, IN 47132 PHONE: (310) 457-1551(310) 457-1551, (800)253-0696(800)253-0696 toll free <http://harvester.census.gov/sac/facconta.htm>
9. EO 13166, August 11, 2000, requires recipients receiving Federal financial assistance to take steps to ensure that people with limited English proficiency can meaningfully access health and social services. A program of language assistance should provide for effective communication between the service provider and the person with limited English proficiency to facilitate participation in, and meaningful access to, services. The obligations of recipients are explained on the OCR website at <http://www.hhs.gov/ocr/lep/revisedlep.html>.
10. This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.hrsa.gov/grants/trafficking.htm>. If you are unable to access this link, please contact the Grants Management Specialist identified in this Notice of Award to obtain a copy of the Term.
11. The Consolidated Appropriations Act, 2016, Division H, § 202, (P.L. 114-113) enacted December 18, 2015, limits the salary amount that may be awarded and charged to HRSA grants and cooperative agreements to the Federal Executive Pay Scale Level II rate set at \$185,100, effective January 10, 2016. This amount reflects an individual's base salary exclusive of fringe benefits. An individual's institutional base salary is the annual compensation that the recipient organization pays an individual and excludes any income an individual may be permitted to earn outside the applicant organization duties. HRSA funds may not be used to pay a salary in excess of this rate. This salary limitation also applies to sub-recipients under a HRSA grant or cooperative agreement. The salary limitation does not apply to payments made to consultants under this award although, as with all costs, those payments must meet the test of reasonableness and be consistent with recipient's institutional policy. None of the awarded funds

may be used to pay an individual's salary at a rate in excess of the salary limitation. Note: an individual's base salary, per se, is NOT constrained by the legislative provision for a limitation of salary. The rate limitation simply limits the amount that may be awarded and charged to HRSA grants and cooperative agreements.

12. To serve persons most in need and to comply with Federal law, services must be widely accessible. Services must not discriminate on the basis of age, disability, sex, race, color, national origin or religion. The HHS Office for Civil Rights provides guidance to grant and cooperative agreement recipients on complying with civil rights laws that prohibit discrimination on these bases. Please see <http://www.hhs.gov/civil-rights/for-individuals/index.html>. HHS also provides specific guidance for recipients on meeting their legal obligation under Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in programs and activities that receive Federal financial assistance (P. L. 88-352, as amended and 45 CFR Part 75). In some instances a recipient's failure to provide language assistance services may have the effect of discriminating against persons on the basis of their national origin. Please see <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html> to learn more about the Title VI requirement for grant and cooperative agreement recipients to take reasonable steps to provide meaningful access to their programs and activities by persons with limited English proficiency.
13. Important Notice: The Central Contractor registry (CCR) has been replaced. The General Services Administration has moved the CCR to the System for Award Management (SAM) on July 30, 2012. To learn more about SAM please visit <https://www.sam.gov>.

It is incumbent that you, as the recipient, maintain the accuracy/currency of your information in the SAM at all times during which your entity has an active award or an application or plan under consideration by HRSA, unless your entity is exempt from this requirement under 2 CFR 25.110. Additionally, this term requires your entity to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information. This requirement flows down to subrecipients. Note: SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients). Grants.gov will reject submissions from applicants with expired registrations. It is advisable that you do not wait until the last minute to register in SAM or update your information. According to the SAM Quick Guide for Grantees ([https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)), an entity's registration will become active after 3-5 days. Therefore, check for active registration well before the application deadline.

14. In any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, grantees must treat same-sex spouses, marriages, and households on the same terms as opposite-sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage. This term applies to all grant programs except block grants governed by 45 CFR part 96 or 45 CFR Part 98, or grant awards made under titles IV-A, XIX, and XXI of the Social Security Act; and grant programs with approved deviations.

## Reporting Requirement(s)

### 1. Due Date: Within 90 Days of Project End Date

The grantee must submit a project period end performance report within 90 days after the end of the project period. This report should include completing the financial forms, project abstract, grant summary and performance measures. The performance report must be submitted using the Electronic Handbook (EHB).

### 2. Due Date: Within 120 Days of Award Issue Date

The grantee must submit a Performance Report within 120 days after receipt of the NoA. This report should include completing the financial forms, project abstract, grant summary and performance measures. The performance report must be submitted using the Electronic Handbook (EHB).

### 3. Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due Quarter End Date after 90 days of reporting period.

The grantee must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period and must be submitted using the Electronic Handbooks (EHBs). The FFR due dates have been aligned with the Payment Management System quarterly report due dates, and will be due 90, 120, or 150 days after the budget period end date. Please refer to the chart below for the specific due date for your FFR:

- Budget Period ends August – October: FFR due January 30
- Budget Period ends November – January: FFR due April 30
- Budget Period ends February – April: FFR due July 30
- Budget Period ends May – July: FFR due October 30

**Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.**

## Contacts

### NoA Email Address(es):

Name	Role	Email
Shari A Watkins	Authorizing Official	swatkins@utah.gov
Alfred N Romeo	Program Director, Point of Contact	alromeo@utah.gov

Note: NoA emailed to these address(es)


### Program Contact:

For assistance on programmatic issues, please contact Anna Maria Padlan at:  
HRSA/MCHB/DSCSHN/ISB  
5600 Fishers Ln  
Rockville, MD, 20852-1750  
Email: apadlan@hrsa.gov  
Phone: (301) 443-1737

### Division of Grants Management Operations:

For assistance on grant administration issues, please contact Mary Worrell at:  
MailStop Code: 10SWH03  
HRSA/OFAM/DGMO  
5600 Fishers Ln  
Rockville, MD, 20852-1750  
Email: mworrell@hrsa.gov  
Phone: (301) 443-5181  
Fax: (301) 443-5461

<b>1. DATE ISSUED:</b> 08/09/2016		<b>2. PROGRAM CFDA:</b> 93.241	
<b>3. SUPERSEDES AWARD NOTICE dated:</b> except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.			
<b>4a. AWARD NO.:</b> 5 H54RH00050-17-00		<b>4b. GRANT NO.:</b> H54RH00050	<b>5. FORMER GRANT NO.:</b>
<b>6. PROJECT PERIOD:</b> <b>FROM:</b> 09/01/2000 <b>THROUGH:</b> 08/31/2018			
<b>7. BUDGET PERIOD:</b> <b>FROM:</b> 09/01/2016 <b>THROUGH:</b> 08/31/2017			

U.S. Department of Health and Human Services  
  
 Health Resources and Services Administration

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulation)  
 Balanced Budget Act of 1997, Section 4201, P.L. 105-33  
 Title XVIII, §1820(g)(1) and (2) of the Social Security Act (42 U.S.C. 1395i-4), as amended; Consolidated and Further Continuing Appropriations Act, 2015 (P.L. 113-235).

**8. TITLE OF PROJECT (OR PROGRAM):** RURAL HOSPITAL FLEXIBILITY PROGRAM

**9. GRANTEE NAME AND ADDRESS:**  
 UTAH DEPARTMENT OF HEALTH  
 Division Line: Office of Primary Care and Rural Health  
 PO BOX 144003  
 Salt Lake City, UT 84114-4003  
**DUNS NUMBER:**  
 959347972

**10. DIRECTOR:** (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR)  
 Steven K Ipsen  
 UTAH DEPARTMENT OF HEALTH  
 Division Line: Utah Department of Health, Bureau of Primary Care  
 PO BOX 142005  
 Salt Lake City, UT 84114-2005

**11. APPROVED BUDGET:**(Excludes Direct Assistance)  
 Grant Funds Only  
 Total project costs including grant funds and all other financial participation

a . Salaries and Wages :	\$0.00
b . Fringe Benefits :	\$0.00
c . Total Personnel Costs :	\$0.00
d . Consultant Costs :	\$0.00
e . Equipment :	\$0.00
f . Supplies :	\$0.00
g . Travel :	\$0.00
h . Construction/Alteration and Renovation :	\$0.00
i . Other :	\$361,480.00
j . Consortium/Contractual Costs :	\$0.00
k . Trainee Related Expenses :	\$0.00
l . Trainee Stipends :	\$0.00
m Trainee Tuition and Fees :	\$0.00
n . Trainee Travel :	\$0.00
o . TOTAL DIRECT COSTS :	\$361,480.00
p . INDIRECT COSTS (Rate: % of S&W/TADC) :	\$0.00
q . TOTAL APPROVED BUDGET :	\$361,480.00
i. Less Non-Federal Share:	\$0.00
ii. Federal Share:	\$361,480.00

**12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE:**

a. Authorized Financial Assistance This Period	<b>\$361,480.00</b>
b. Less Unobligated Balance from Prior Budget Periods	
i. Additional Authority	\$0.00
ii. Offset	\$0.00
c. Unawarded Balance of Current Year's Funds	\$0.00
d. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	<b>\$361,480.00</b>

**13. RECOMMENDED FUTURE SUPPORT:** (Subject to the availability of funds and satisfactory progress of project)

YEAR	TOTAL COSTS
18	\$361,480.00

**14. APPROVED DIRECT ASSISTANCE BUDGET:**(In lieu of cash)

a. Amount of Direct Assistance	\$0.00
b. Less Unawarded Balance of Current Year's Funds	\$0.00
c. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION	<b>\$0.00</b>

**15. PROGRAM INCOME SUBJECT TO 45 CFR 75.307 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**  
**A=Addition B=Deduction C=Cost Sharing or Matching D=Other** **[A]**  
 Estimated Program Income: \$0.00

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS 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 cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 75 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS:** (Other Terms and Conditions Attached Yes No)

*Electronically signed by Inge Cooper , Grants Management Officer on : 08/09/2016*

<b>17. OBJ. CLASS:</b> 41.51	<b>18. CRS-EIN:</b> 1876000545C1	<b>19. FUTURE RECOMMENDED FUNDING:</b> \$0.00
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FY-CAN	CFDA	DOCUMENT NO.	AMT. FIN. ASST.	AMT. DIR. ASST.	SUB PROGRAM CODE	SUB ACCOUNT CODE
16 - 3704129	93.912	15H54RH00050	\$361,480.00	\$0.00		15MRHFLEX

## HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPSEExternal/Interface/common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-Go4-HRSA/877-464-4772.

## Terms and Conditions

**Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.**

### Grant Specific Condition(s)

**1. Due Date: Within 30 Days of Budget Start Date**

Submit a revised Work Plan that is numbered and aligns with progress report. Work Plan should include baseline and target data for identified measures.

**2. Due Date: Within 30 Days of Award Issue Date**

Submit a revised SF 424A, Line Item Budget, and Budget Narrative Justification for the Federal award of \$361,480. For the Personnel line item, you must include the following for each employee supported by funds from this award: name of employee; base salary; % FTE on the grant; and amount of Federal funds (wages and % of fringe benefits) to be paid for the budget year. This personnel information requirement also applies to sub awards/subcontracts supported by Federal funds from this grant.

Federal grant funds may not be used to pay the salary of an individual at a rate in excess of Federal Executive Level II of the Federal Executive Pay scale (currently \$185,100). This amount reflects an individual's base salary exclusive of fringe benefits and income that an individual may be permitted to earn outside of the duties to the applicant organization (i.e., rate limitation only limits the amount that may be awarded and charged to HRSA grants.)

### Grant Specific Term(s)

- Effective December 26, 2014, all references to OMB Circulars for the administrative and audit requirements and the cost principles that govern Federal monies associated with this award are superseded by the Uniform Guidance 2 CFR 200 as codified by HHS at 45 CFR 75.
- The funds for this award are sub-accounted in the Payment Management System (PMS) and will be in a P type (sub accounted) account. This type of account allows recipients to specifically identify the individual grant for which they are drawing funds and will assist HRSA in monitoring the award. If your organization previously received a grant under this program, it was in a G type (cash pooled) account designated by a PMS Account Number ending in G or G1. Now that this grant is sub accounted the PMS Account Number will be changed to reflect either P or P1. For example, if the prior year grant was in payee account number 2AAG it will now be in 2AAP. Similarly, if the prior year grant was in payee account 2AAG1, the grant will be in payee account 2AAP1. The P sub account number and the sub account code (provided on page 1 of this Notice of Award) are both needed when requesting grant funds.

You may use your existing PMS username and password to check your organizations P account access. If you do not have access, complete a PMS Access Form (PMS/FFR Form) found at: [http://www.dpm.psc.gov/grant\\_recipient/grantee\\_forms.aspx](http://www.dpm.psc.gov/grant_recipient/grantee_forms.aspx) and send it to the fax number indicated on the bottom of the form. If you have any questions about accessing PMS, contact the PMS Liaison Accountant as identified at: <http://www.dpm.psc.gov/contacts/contacts.aspx>.

- This Notice of Award is issued based on HRSA's approval of the Non-Competing Continuation (NCC) Progress Report. All post-award requests, such as significant budget revisions or a change in scope, must be submitted as a Prior Approval action via the Electronic Handbooks (EHBs) and approved by HRSA prior to implementation. Grantees under "Expanded Authority," as noted in the Remarks section of the Notice of Award, have different prior approval requirements. See "Prior-Approval Requirements" in the DHHS Grants Policy Statement:  
<http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>
- A Performance Improvement Management System (PIMS) report is due within 60 days of the budget period end date. Please upload the

required documentation into the HRSA Electronic Handbooks (EHBs).

5. Carryover of unobligated funds into the subsequent funding period request should be submitted at the same time as the SF-425 FFR or no later than 30 days after the due date of the FFR and must include an SF-424A, line item budget, and narrative justification. The request should provide justification of why the funds remain unobligated and should include details as to how the carryover will be used to complete the previously approved goals and objectives of the program. Unobligated balances should not be requested solely in order to spend down available unobligated funds. Awardees will be notified via a revised NoA if carryover has been approved or via correspondence generated through the EHBs if it has been disapproved.
6. To ensure timely execution of grant-supported activities, changes to Prior Approval requests must be submitted via the EHBs within two calendar weeks (10 business days) of the change request from the project officer or grants management specialist. This requirement applies to actions including, but not limited to, carryover, rebudgeting, and change of scope requests. Delayed revisions will result in denial of the Prior Approval.
7. The budget period for this award ends August 31. The FFR is due January 30 as noted in the Reporting Requirements section of this NOA.
8. A Flex representative is encouraged to attend the NRHA CAH Conference in Kansas City, MO.
9. The requirements of 48 CFR section 3.908 (found at <http://www.ecfr.gov>) implementing section 828 of the National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections" apply to this award. This notice requires that grantees inform their employees in writing of employee whistleblower rights and protections under [41 U.S.C. 4712](http://uscode.house.gov/browse.xhtml) in the predominant native language of the workforce. The details of 41 U.S.C. 4712 can be found at <http://uscode.house.gov/browse.xhtml>. (regarding 48 CFR section 3.908, note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term, should read as "grant," "grantee," "subgrant," or "subgrantee").

## Program Specific Term(s)

1. As specified and budgeted, at least one Flex representative is required to attend a Flex program meeting in Washington, D.C., and one other Regional or National meeting each year related to the administration of the Flex Grant, as a part of ensuring program maintenance and integrity.
2. Participation in the national evaluation of the Rural Hospital Flexibility Program, including the collection of additional data as determined appropriate, is required.
3. Whenever staff turnover or reassignment changes the personnel directly responsible for executing the duties of the Flex grant, the replacement personnel are required to attend a Flex Workshop in Duluth, MN, within one year of their start date.

## Standard Term(s)

1. Recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions outlined in applicable Department of Health and Human Services (HHS) Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts.
2. All discretionary awards issued by HRSA on or after October 1, 2006, are subject to the HHS Grants Policy Statement (HHS GPS) unless otherwise noted in the Notice of Award (NoA). Parts I through III of the HHS GPS are currently available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>. Please note that the Terms and Conditions explicitly noted in the award and the HHS GPS are in effect.
3. HRSA requires grantees to use the following acknowledgement and disclaimer on all products produced by HRSA grant funds:  
*"This project is/was supported by the Health Resources and Services Administration (HRSA) of the U.S. Department of Health and Human Services (HHS) under grant number and title for grant amount (specify grant number, title, total award amount and percentage financed with nongovernmental sources). This information or content and conclusions are those of the author and should not be construed as the official position or policy of, nor should any endorsements be inferred by HRSA, HHS or the U.S. Government."*  
Grantees are required to use this language when issuing statements, press releases, requests for proposals, bid solicitations, and other HRSA supported publications and forums describing projects or programs funded in whole or in part with HRSA funding. Examples of HRSA-supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies and issues briefs.

4. Recipients and sub-recipients of Federal funds are subject to the strictures of the Medicare and Medicaid anti-kickback statute (42 U.S.C. 1320a - 7b(b) and should be cognizant of the risk of criminal and administrative liability under this statute, specifically under 42 U.S.C. 1320 7b(b) Illegal remunerations which states, in part, that whoever knowingly and willfully: (A) Solicits or receives (or offers or pays) any remuneration (including kickback, bribe, or rebate) directly or indirectly, overtly or covertly, in cash or in kind, in return for referring (or to induce such person to refer) an individual to a person for the furnishing or arranging for the furnishing of any item or service, OR (B) In return for purchasing, leasing, ordering, or recommending purchasing, leasing, or ordering, or to purchase, lease, or order, any goods, facility, services, or item ....For which payment may be made in whole or in part under subchapter XIII of this chapter or a State health care program, shall be guilty of a felony and upon conviction thereof, shall be fined not more than \$25,000 or imprisoned for not more than five years, or both.
5. Items that require prior approval from the awarding office as indicated in 45 CFR Part 75 [Note: 75 (d) HRSA has not waived cost-related or administrative prior approvals for recipients unless specifically stated on this Notice of Award] or 45 CFR Part 75 must be submitted in writing to the Grants Management Officer (GMO). Only responses to prior approval requests signed by the GMO are considered valid. Grantees who take action on the basis of responses from other officials do so at their own risk. Such responses will not be considered binding by or upon the HRSA.  
In addition to the prior approval requirements identified in Part 75, HRSA requires grantees to seek prior approval for significant rebudgeting of project costs. Significant rebudgeting occurs when, under a grant where the Federal share exceeds \$100,000, cumulative transfers among direct cost budget categories for the current budget period exceed 25 percent of the total approved budget (inclusive of direct and indirect costs and Federal funds and required matching or cost sharing) for that budget period or \$250,000, whichever is less. For example, under a grant in which the Federal share for a budget period is \$200,000, if the total approved budget is \$300,000, cumulative changes within that budget period exceeding \$75,000 would require prior approval). For recipients subject to 45 CFR Part 75, this requirement is in lieu of that in 45 CFR 75 which permits an agency to require prior approval for specified cumulative transfers within a grantee's approved budget. [Note, even if a grantee's proposed rebudgeting of costs falls below the significant rebudgeting threshold identified above, grantees are still required to request prior approval, if some or all of the rebudgeting reflects either a change in scope, a proposed purchase of a unit of equipment exceeding \$25,000 (if not included in the approved application) or other prior approval action identified in Part 75 unless HRSA has specifically exempted the grantee from the requirement(s).]
6. Payments under this award will be made available through the DHHS Payment Management System (PMS). PMS is administered by the Division of Payment Management, Financial Management Services, Program Support Center, which will forward instructions for obtaining payments. Inquiries regarding payments should be directed to: ONE-DHHS Help Desk for PMS Support at 1-877-614-5533 or [PMSSupport@psc.hhs.gov](mailto:PMSSupport@psc.hhs.gov). For additional information please visit the Division of Payment Management Website at [www.DPM.PSC.GOV](http://www.DPM.PSC.GOV).
7. The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous. Contact: Office of Inspector General, Department of Health and Human Services, Attention: HOTLINE, 330 Independence Avenue Southwest, Cohen Building, Room 5140, Washington, D. C. 20201, Email: [Htips@os.dhhs.gov](mailto:Htips@os.dhhs.gov) or Telephone: 1-800-447-8477 (1-800-HHS-TIPS).
8. Submit audits, if required, in accordance with 45 CFR Part 75, to: Federal Audit Clearinghouse Bureau of the Census 1201 East 10th Street Jefferson, IN 47132 PHONE: (310) 457-1551(310) 457-1551, (800)253-0696(800)253-0696 toll free <http://harvester.census.gov/sac/facconta.htm>
9. EO 13166, August 11, 2000, requires recipients receiving Federal financial assistance to take steps to ensure that people with limited English proficiency can meaningfully access health and social services. A program of language assistance should provide for effective communication between the service provider and the person with limited English proficiency to facilitate participation in, and meaningful access to, services. The obligations of recipients are explained on the OCR website at <http://www.hhs.gov/ocr/lep/revisedlep.html>.
10. This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.hrsa.gov/grants/trafficking.htm>. If you are unable to access this link, please contact the Grants Management Specialist identified in this Notice of Award to obtain a copy of the Term.
11. The Consolidated Appropriations Act, 2016, Division H, § 202, (P.L.114-113) enacted December 18, 2015, limits the salary amount that may be awarded and charged to HRSA grants and cooperative agreements to the Federal Executive Pay Scale Level II rate set at \$185,100, effective January 10, 2016. This amount reflects an individual's base salary exclusive of fringe benefits. An individual's institutional base salary is the annual compensation that the recipient organization pays an individual and excludes any income an individual may be permitted to earn outside the applicant organization duties. HRSA funds may not be used to pay a salary in excess of this rate. This salary limitation also applies to sub-recipients under a HRSA grant or cooperative agreement. The salary limitation does not apply to payments made to consultants under this award although, as with all costs, those payments must meet the test of reasonableness and be consistent with recipient's institutional policy. None of the awarded funds may be used to pay an individual's salary at a rate in excess of the salary limitation. Note: an individual's base salary, per se, is NOT constrained by the legislative provision for



a limitation of salary. The rate limitation simply limits the amount that may be awarded and charged to HRSA grants and cooperative agreements.

12. To serve persons most in need and to comply with Federal law, services must be widely accessible. Services must not discriminate on the basis of age, disability, sex, race, color, national origin or religion. The HHS Office for Civil Rights provides guidance to grant and cooperative agreement recipients on complying with civil rights laws that prohibit discrimination on these bases. Please see <http://www.hhs.gov/civil-rights/for-individuals/index.html>. HHS also provides specific guidance for recipients on meeting their legal obligation under Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in programs and activities that receive Federal financial assistance (P. L. 88-352, as amended and 45 CFR Part 75). In some instances a recipient's failure to provide language assistance services may have the effect of discriminating against persons on the basis of their national origin. Please see <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html> to learn more about the Title VI requirement for grant and cooperative agreement recipients to take reasonable steps to provide meaningful access to their programs and activities by persons with limited English proficiency.
13. Important Notice: The Central Contractor registry (CCR) has been replaced. The General Services Administration has moved the CCR to the System for Award Management (SAM) on July 30, 2012. To learn more about SAM please visit <https://www.sam.gov>.

It is incumbent that you, as the recipient, maintain the accuracy/currency of your information in the SAM at all times during which your entity has an active award or an application or plan under consideration by HRSA, unless your entity is exempt from this requirement under 2 CFR 25.110. Additionally, this term requires your entity to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information. This requirement flows down to subrecipients. Note: SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients). Grants.gov will reject submissions from applicants with expired registrations. It is advisable that you do not wait until the last minute to register in SAM or update your information. According to the SAM Quick Guide for Grantees ([https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)), an entity's registration will become active after 3-5 days. Therefore, check for active registration well before the application deadline.

14. In any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, grantees must treat same-sex spouses, marriages, and households on the same terms as opposite-sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage. This term applies to all grant programs except block grants governed by 45 CFR part 96 or 45 CFR Part 98, or grant awards made under titles IV-A, XIX, and XXI of the Social Security Act; and grant programs with approved deviations.

## Reporting Requirement(s)

1. **Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due Quarter End Date after 90 days of reporting period.**

The grantee must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period and must be submitted using the Electronic Handbooks (EHBs). The FFR due dates have been aligned with the Payment Management System quarterly report due dates, and will be due 90, 120, or 150 days after the budget period end date. Please refer to the chart below for the specific due date for your FFR:

- Budget Period ends August – October: FFR due January 30
- Budget Period ends November – January: FFR due April 30
- Budget Period ends February – April: FFR due July 30
- Budget Period ends May – July: FFR due October 30

**Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.**

## Contacts

### NoA Email Address(es):

Name	Role	Email
Shari Watkins	Authorizing Official	swatkins@utah.gov
Steven K Ipsen	Program Director	sipsen@utah.gov

Note: NoA emailed to these address(es)

**Program Contact:**

For assistance on programmatic issues, please contact Sarah Young at:  
MailStop Code: 17W-49D  
Office of Rural Health Policy  
5600 Fishers Lane  
RM 17W-49D  
Rockville, MD, 20857-  
Email: [syoung2@hrsa.gov](mailto:syoung2@hrsa.gov)  
Phone: (301) 443-5905

**Division of Grants Management Operations:**

For assistance on grant administration issues, please contact Benjamin White at:  
MailStop Code: 10NWH04  
HIV/AIDS & Rural Health Branch  
5600 Fisher Lane  
Rockville, MD, 20857-0001  
Email: [BWhite@hrsa.gov](mailto:BWhite@hrsa.gov)  
Phone: (301) 945-9455  
Fax: (301) 443-5461

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1. DATE ISSUED MM/DD/YYYY 06/30/2016  
 2. CFDA NO. 93.069  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 SEC391(A)317(K)OPPHS42U.S.C.SEC241A 247B

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 1 NU90TP921863-01-00  
 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2018

7. BUDGET PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah will develop preparedness and response to the threat of Zika by incident command management,  
 public and provider messaging, and development of response plans.

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Family Health and Preparedness-DUP  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10a. GRANTEE AUTHORIZING OFFICIAL  
 Mr. Kevin McCulley  
 3760 S Highland Dr. (no mail)  
 PO Box 142004  
 Bureau of EMS and Preparedness  
 SALT LAKE CITY, UT 84114-2004  
 Phone: 801-273-6669

10b. FEDERAL PROJECT OFFICER  
 Sharon H Moore  
 1600 Clifton Road, MS D29  
 DSLR  
 Atlanta, GA 30329  
 Phone: 404.639.7496

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	44,613.00
b. Fringe Benefits .....	23,199.00
c. Total Personnel Costs .....	67,812.00
d. Equipment .....	0.00
e. Supplies .....	0.00
f. Travel .....	3,681.00
g. Construction .....	0.00
h. Other .....	39,325.00
i. Contractual .....	187,478.00
j. TOTAL DIRECT COSTS →	298,296.00
k. INDIRECT COSTS	8,612.00
l. TOTAL APPROVED BUDGET	306,908.00
m. Federal Share	306,908.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	306,908.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	306,908.00
13. Total Federal Funds Awarded to Date for Project Period	306,908.00

14. RECOMMENDED FUTURE SUPPORT <i>(Subject to the availability of funds and satisfactory progress of the project):</i>			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Shicann Phillips

17. OBJ CLASS 41.51	18a. VENDOR CODE 1470491233B2	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93906FV	b. 16TP921863	c. TP	d. \$306,908.00	e. 75-1519-0943
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

NOTICE OF AWARD (Continuation Sheet)

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**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

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## AWARD CONDITIONS

1. Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

### 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

#### AWARD INFORMATION

**Incorporation: The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number TP16-1602, entitled Public Health Preparedness and Response (PHPR) Cooperative Agreement for All-Hazards Public Health Emergencies: Zika 2016, and application dated June 13, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.**

In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding: Funding in the amount of \$306,908** is approved for the Year 2016 budget period, which is July 1, 2016 through June 30, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund.

**Direct Assistance:** Not Applicable to this Award

**Objective/Technical Review Statement Response Requirement:** THE OBJECTIVE REVIEW PROCESS HAS NOT BEEN COMPLETED BY OPHPR/DSL. Once the review process and budget discussions are complete a revised Notice of Award will be sent.

**Budget Revision Requirement:** By August 1, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date. (If Applicable)

The budget must include (if applicable):

- Salaries and wages
- Fringe benefits
- Consultant costs

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- Equipment
- Supplies
- Travel
- Other categories
- Contractual costs
- Total Direct costs
- Total Indirect costs

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the **Addition alternative**.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Cost sharing or matching alternative: Under this alternative, program income is used to finance some or the entire non-Federal share of the project/program.

Note: The disposition of program income must have written prior approval from the GMO.

<b>FUNDING RESTRICTIONS AND LIMITATIONS</b>
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**Funding Opportunity Announcement (FOA) Restrictions:** Reimbursement of pre-award costs as of May 18, 2016, is allowed under the current announcement TP16-1602. These pre-award cost cannot exceed 20% of the total budget. Funding cannot be used for activities already covered by other Federal grants or cooperative agreements.

The ADS restrictions apply to this current budget period only and do not apply to carryover of unobligated funding into a following year. All continuation and carryover activities and budget items will be reviewed by the ADS office every budget period, and applicable restrictions will be enforced during that budget period.

- Awardees may not use funds for research
- Awardees may not use funds for clinical care except as allowed by law
- Awardees may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally awardees may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the awardee.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
  - Publicity or propaganda purposes, for the preparation, distribution, no funds may be used for: designed to support or defeat the enactment of legislation before any legislative body
  - The salary or expenses of any grant or contract recipient, or agent acting for such recipient related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Additional Requirement's (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC awardees
- The direct and primary recipient in a cooperative agreement program must perform a

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substantial role in carrying outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.

- Recipients may not use funds for construction or major renovations.
- Recipients may supplement but not supplant existing state or federal funds for activities described in the budget.
- Payment or reimbursement of backfilling costs for staff is not allowed.
- None of the funds awarded to these programs may be used to pay the salary of an individual at a rate in excess of Executive level II or 185,100 per year, (See [http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm))
- Recipients cannot use funds to acquire real property such as land, land improvements, structures, and appurtenances thereto. In addition, activities under individual grants that constitute major renovation of real property or purchase of a trailer or modular unit that will be used as real property may be charged to HHS grants only with specific statutory authority and GMO approval,
- Recipient's awardees cannot use funds to purchase vehicles to be used as means of transportation for carrying people or goods, such as passenger cars or trucks and electrical or gas-driven motorized carts. Recipients can (with prior approval) use funds to lease vehicles to be used as means of transportation for carrying people or goods, e.g., passenger cars or trucks and electrical or gas-driven motorized carts.

**Program and Administrative Restriction(s):** Fifty percent (50%) of the total approved funding amount is hereby restricted and cannot be drawn down from the payment management system (PMS) until CDC completes budget discussions and Objective Reviews for TP16-1602. Once budget discussions and reviews have been completed your organization will receive a revised Notice of Award releasing restricted funds providing all issues/concerns discussed during the budget calls receive a satisfactory response.

**Indirect Costs:** Indirect costs are not approved for this award, because an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than August 1, 2016.

**Matching Funds Requirement:** *Not applicable to this award.*

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The grantee may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

**Maintenance of Effort (MOE) Requirement:** *Not applicable to this award.*

MOE represents an applicant/grantee historical level of contributions related to Federal programmatic activities which have been made prior to the receipt of Federal funds "expenditures (money spent)." MOE is used as an indicator of non-federal support for public health security before the infusion of Federal funds. These expenditures are calculated by the grantee without reference to any Federal funding that also may have contributed to such programmatic activities in the past. Awardees must

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stipulate the total dollar amount in their grant applications. Grantees must be able to account for MOE separately from accounting for Federal funds and separately from accounting for any matching funds requirement; this accounting is subject to ongoing monitoring, oversight, and audit. MOE may not include any matching funds requirement.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)



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D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2016. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2017. After this date, corrections or cash requests will not be permitted.

<b>REPORTING REQUIREMENTS</b>
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**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by September 30, 2017. Reporting timeframe is July 1, 2016 through June 30, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding

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of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **March 2, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

In addition to the annual performance report, awardees must submit a March 2, 2017. Performance measures report as specified in the FOA.

**Audit Requirement:**

An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

An organization that expends \$300,000 or more in a fiscal year on its Federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Electronic Copy to:

[OGS.Audit.Resolution@cdc.gov](mailto:OGS.Audit.Resolution@cdc.gov) (CDC Office of Grants Services)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits

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necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

***In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.***

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal

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Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-

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award.

- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

#### GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by March 2, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget
- OVERTIME/COMPENSATORY TIME: Must be submitted to your Grants Management Specialist prior to applying the proposed cost. Requests should clearly state the following:

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- Name of Staff
- Percentage of effort on current award
- Number of hours worked
- What activities are being accomplished during overtime hours

Templates for prior approval requests can be found at: [Prior Approval Requests](#)

Templates for prior approval requests can be found at:  
<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **TP921863**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal

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publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

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FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.



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“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all

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subcontracts over the simplified acquisition threshold.

<b>PAYMENT INFORMATION</b>
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**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services

P.O. Box 6021

Rockville, MD 20852

Phone Number: (877) 614-5533

Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)

Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:

Bhavin Patel (301) 492-4918

Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services

Division of Payment Management

7700 Wisconsin Avenue, Suite 920

Bethesda, MD 20814

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For additional information and/or to obtain your agency point of contact at the PMS, see, [http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/dpm\\_contact\\_list.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/dpm_contact_list.aspx?explorer.event=true)

Under the manual payment method, the grantee will be placed on a reimbursement payment plan. The GMS will work with the grantee to develop a corrective action plan with timeframes and consequences for non-compliance. Formal action will consist of monitoring progress with regard to completion of proposed activities. Additionally, the corrective action may include provision of technical assistance (by sponsoring program office staff). Failure to submit the required information in a timely manner may adversely affect the future funding of this project.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “ P Account”. A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **16TP921863**  
 Subaccount Title: **TP161602-ZIKA-COAG16**

This FOA does not have multiple components

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable

HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

<b>CDC ROLES AND RESPONSIBILITIES</b>
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**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish

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between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Rich Davidson, Project Officer

Centers for Disease Control

Public Health Emergency Preparedness Program

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Clifton Road Bldg 21

OPHPR/DSL/PSB

Telephone: 404-639-2644

Fax: 404-596-0000

Email: rwd6@cdc.gov

**Programmatic Contact:**

Shicann Phillips, Grant Manager Officer

Centers for Disease Control

Office of Grants Services

Office of Financial Resources (OFR)

2960 Brandywine Road

Telephone: 770-488-2809

Fax: 770-488-0000

Email: lbq7@cdc.gov

**Programmatic Contact:**

Veronica Davis, Grant Management Specialist

Centers for Disease Control

Office of Grants Services

Office of Financial Resources (OFR)

2960 Brandywine Road

Telephone: 770-488-2743

Fax: 770-488-0000

Email: vad4@cdc.gov

1. DATE ISSUED MM/DD/YYYY 08/18/2016  
 2. CFDA NO. 93.977  
 3. ASSISTANCE TYPE Project Grant

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NH25PS004270-04-00  
 Formerly 5H25PS004270-03  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/30/2013 Through 09/29/2018

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/30/2016 Through 09/29/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 [AWARD AUTHORITY NOT DEFINED FOR PS13-1306.NH25]

8. TITLE OF PROJECT (OR PROGRAM)  
 The SSuN Part B grant will fund the enhancement of case reporting and data collec

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142106  
 Salt Lake City, UT 84114-2106

9b. GRANTEE PROJECT DIRECTOR  
 ALLYN NAKASHIMA  
 288 NORTH 1460 WEST  
 P.O. BOX 144002  
 UTAH STATE DEPARTMENT OF HEALTH  
 SALT LAKE CITY, UT 84116

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Mark Stenger  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 800-232-4636

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	79,139.00
b. Fringe Benefits .....	49,066.00
c. Total Personnel Costs .....	128,205.00
d. Equipment .....	0.00
e. Supplies .....	312.00
f. Travel .....	2,863.00
g. Construction .....	0.00
h. Other .....	4,060.00
i. Contractual .....	85,777.00
j. TOTAL DIRECT COSTS →	221,217.00
k. INDIRECT COSTS	16,283.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>237,500.00</b>
m. Federal Share	237,500.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	237,500.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>237,500.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>919,514.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 5		d. 8	
b. 6		e. 9	
c. 7		f. 10	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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.  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Arthur Lusby, Grants Management Officer, Team Lead**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZRPZ	b. 004270PS14	c. 93.977	d. PS	e. \$24,569.00	f. 75-16-0950
22. a. 6-939ZRQB	b. 004270PS14	c. 93.977	d. PS	e. \$212,931.00	f. 75-16-0950
23. a.	b.	c.	d.	e.	f.

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**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NH25PS004270-04-00

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1. Terms & Conditions



**Funding Opportunity Announcement (FOA) Number: PS13-1306**

**Award Number: 1 H25 PS004270-04**

**Award Type: Cooperative Agreement**

**Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards**

**45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

#### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number **PS13-1306**, **entitled: STD Surveillance Network (SSuN)**, and application dated **April 13, 2016**, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$237,500** is approved for the Year 04 budget period, which is **September 30, 2016** through **September 29, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Part A Base: \$0  
Part B Base \$162,500  
Surveillance Eval.: \$75,000

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Technical Review Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **October 31, 2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By **October 31, 2016** the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

**Addition alternative:** Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

**Indirect Costs:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70% of the base, which includes, 1. salaries and wages including all fringe Benefits. 2. Total Direct costs excluding capital expenditures

(buildings, individual items of equipment, alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The effective dates of this indirect cost rate are from July 1, 2016 through June 30, 2017.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II. Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects

and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2015 funds will expire September 30, 2020. All FY 2015 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2020. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted through eRA Commons no later than 90 days after the end of the calendar quarter in which the budget period ends. The FFR for this budget period is due to the GMS/GMO by **December 30, 2017**. Reporting timeframe is **September 30, 2016** through **September 29, 2017**.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

FFR (SF-425) instructions for CDC Grantees are available at <http://grants.nih.gov/grants/forms.htm>. For further information, contact [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Additional resources concerning the eFSR/FFR system, including a User Guide and an on-line demonstration, can be found on the [eRA Commons](http://grants.nih.gov/support/) Support Page: <http://grants.nih.gov/support/>.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **May 31, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

**In addition to the annual performance report, awardees must submit a 6 month performance measures report as specified in the FOA that reflects the following:**

- Methods used to identify and refine target population (within defined geographic area) and providers caring for the target population.
- Number of primary-care providers who serve the target population recruited into the coalition to achieve maximum coverage of the target population with providers capable of diagnosing and curing HCV infection.
- Protocols, challenges, and facilitators of HCV testing to diagnose current HCV infections in primary-care settings.
- Protocols, challenges, and facilitators of primary-care provider training and consultation with HCV specialists.
- Process for case management to facilitate treatment initiation, completion, and retention in care.

- Process, strategies, challenges, and facilitators associated with educating the target population and patients, to include a description of communication channels and materials and the number of materials and messages distributed through these channels.
- Overview of evaluation plan and data systems used to collect evaluation data for assessing impact of the package of services in achieving outcomes; any changes since the last report 6-month must be highlighted
- Changes made to EMR to improve testing, diagnosis, and cure (e.g., performance measures and clinical decision support tools)
- Activities to leverage policy (ACA) that can increase access to HCV testing and treatment, including activities with local Medicaid program.
- Accessibility of HCV treatment regimens by target population in qualified health plans and Medicaid benchmark plans.
- Aggregate data on the outcomes related to tested, diagnosed, treated, and cured by provider site.

**Audit Requirement:** Domestic Organizations: An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Procurement & Grants Office, Risk Management & Compliance Activity

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

**Federal Funding Accountability and Transparency Act (FFATA):** In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsr.gov](http://www.fsr.gov).

#### Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsr.gov](http://www.fsr.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsr.gov](http://www.fsr.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

**Definitions:**

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.

- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

<b>GENERAL REQUIREMENTS</b>
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**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**HIV Program Review Panel Requirement:** All written materials, audiovisual materials, pictorials, questionnaires, survey instruments, websites, educational curricula and other relevant program materials must be reviewed and approved by an established program review panel. A list of reviewed materials and approval dates must be submitted to the CDC Grants Management Specialist identified in the CDC Roles and Responsibilities section of this NoA.

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests no later than 30 days prior to this budget period's end date. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

**The following types of requests require prior approval.**

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions

- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **H25 PS004270-04**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a

contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):



3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch: Bhavin Patel (301) 492-4918 Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form. The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “P Account”. A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

**Grant Document Number: 004270PS14**  
**Subaccount Title: PS131306STDSURSSUN14**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is

obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project

- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Mark Stenger, Project Officer  
Centers for Disease Control  
Division of HIV/AIDS, (NCHHSTP)  
1600 Clifton Road  
MS-E63  
Telephone: 404-639-6136  
Email: [zpl4@cdc.gov](mailto:zpl4@cdc.gov)

**Office of Grants Services Contact:**

Constance Jarvis  
Grants Management Officer  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Centers for Disease Control and Prevention (CDC)  
Telephone: [ABQ3@CDC.GOV](mailto:ABQ3@CDC.GOV) 770-488-5859 office | 770-488-8350 Fax

1. DATE ISSUED MM/DD/YYYY 09/19/2016 | 2. CFDA NO. 93.136 | 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated 06/28/2016  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 6 NU17CE924839-01-01 Formerly | 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY From 08/01/2016 Through 07/31/2021

7. BUDGET PERIOD MM/DD/YYYY From 08/01/2016 Through 07/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 317(K) OF PHS ACT(42USC247B(K))

8. TITLE OF PROJECT (OR PROGRAM)  
 Core State Violence and Injury Prevention Program

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142001  
 Salt Lake City, UT 84114-2001

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Trisha Keller

10a. GRANTEE AUTHORIZING OFFICIAL  
 Mrs. Shari Watkins  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6936

10b. FEDERAL PROJECT OFFICER  
 Jamie E Mells  
 4770 Buford Hwy  
 DARPI  
 Atlanta, GA 30341  
 Phone: 770-488-7388

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	124,959.00
b. Fringe Benefits .....	79,573.00
c. Total Personnel Costs .....	204,532.00
d. Equipment .....	0.00
e. Supplies .....	1,368.00
f. Travel .....	5,459.00
g. Construction .....	0.00
h. Other .....	12,665.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	224,024.00
k. INDIRECT COSTS	25,976.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>250,000.00</b>
m. Federal Share	250,000.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	250,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	250,000.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>0.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>250,000.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2	250,000.00	d. 5	25,000.00
b. 3	250,000.00	e. 6	
c. 4	250,000.00	f. 7	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Brownie Anderson-Rana, Grants Management Officer**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93901CU	b. 924839CE16	c. 93.136	d. CE	e. \$0.00	f. 75-16-0952
22. a. 6-939ZSFU	b. 924839CE16	c. 93.136	d. CE	e. \$0.00	f. 75-16-0952
23. a. 6-939ZSGX	b. 924839CE16	c. 93.136	d. CE	e. \$0.00	f. 75-16-0952

NOTICE OF AWARD (Continuation Sheet)

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GRANT NO. 6 NU17CE924839-01-01	

FY-ACCOUNT NO.	DOCUMENT NO.	CFDA.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 6-939ZXZK	b. 924839CE16	c. 93.136	d. CE	e. \$0.00	f. 75-16-0952

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

NOTICE OF AWARD (Continuation Sheet)

PAGE 3 of 3	DATE ISSUED 09/19/2016
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Federal Financial Report Cycle			
Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
08/01/2016	07/31/2017	Annual	10/29/2017
08/01/2017	07/31/2018	Annual	10/29/2018
08/01/2018	07/31/2019	Annual	10/29/2019
08/01/2019	07/31/2020	Annual	10/29/2020
08/01/2020	07/31/2021	Annual	10/29/2021

# AWARD ATTACHMENTS

Utah Department of Health

6 NU17CE924839-01-01

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1. Revised NOA 1 Terms and Conditions



**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: CE16-1602**  
**AWARD NUMBER: 1 U17 CE924839-01 (Revision 1)**  
**AWARD TYPE: Cooperative Agreement**  
**APPLICABLE REGULATIONS: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards**

**45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

**AWARD INFORMATION**

**NOTE 1:** The purpose of this amendment is to approve the response to the Summary Statement and revised budget submitted as required in the Notice of Award. We have reviewed the material dated September 1, 2016 in response to the Summary Statement reviewer's comments and find it to be acceptable. Therefore, the response requirements noted in the Notice of Award have been satisfied.

**NOTE 2:** Please be advised that grantee must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, and reasonable.

**NOTE 3.** All other terms and conditions of this award remain full effect, unless otherwise changed, in writing, by the Grants Management Officer.

**PLEASE REFERENCE THE FOA AND AWARD NUMBER ON ALL CORRESPONDENCE**

**Financial Contact:**

LaQuanda Lewis, Grants Management Specialist  
Centers for Disease Control  
Office of Financial Resources  
Telephone: 770-488-2969  
Email: [LLewis3@cdc.gov](mailto:LLewis3@cdc.gov)

**Financial Contact:**

Brownie Anderson-Rana  
Grants Management Officer  
Centers for Disease Control  
Office of Financial Resources  
Telephone: 770-488-2771  
Email: [BAndersonRana@cdc.gov](mailto:BAndersonRana@cdc.gov)

1. DATE ISSUED MM/DD/YYYY 09/23/2016 | 2. CFDA NO. 93.073 | 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
Sections 317C [42 U.S.C. 247b-4] of the Public Health Service Act.

1a. SUPERSEDES AWARD NOTICE dated 08/05/2016  
except that any additions or restrictions previously imposed remain  
in effect unless specifically rescinded

4. GRANT NO. 6 NU50DD000027-01-02 Formerly | 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY From 08/01/2016 Through 07/31/2021

7. BUDGET PERIOD MM/DD/YYYY From 08/01/2016 Through 07/31/2017

8. TITLE OF PROJECT (OR PROGRAM) Utah microcephaly surveillance, intervention, and referral to services for infants linked to Zika Virus

9a. GRANTEE NAME AND ADDRESS  
Utah Department of Health  
288 N 1460 W  
-DUP  
Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
Mrs. Amy Nance  
PO Box 142001  
Family Health and Preparedness  
Salt Lake City, UT 84114-2001  
Phone: 801-883-4661

10a. GRANTEE AUTHORIZING OFFICIAL  
Mrs. Shari Watkins  
288 N 1460 W  
SALT LAKE CITY, UT 84116-3231  
Phone: 801-538-6936

10b. FEDERAL PROJECT OFFICER  
William Paradies  
Centers for Disease Control and Prevention  
CCHP/NCBDDD/DBDDD/BDB  
Atlanta, GA 30333  
Phone: 404-498-3919

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)

I Financial Assistance from the Federal Awarding Agency Only		<b>I</b>
II Total project costs including grant funds and all other financial participation		
a. Salaries and Wages .....	96,253.00	
b. Fringe Benefits .....	54,602.00	
c. Total Personnel Costs .....	150,855.00	
d. Equipment .....	0.00	
e. Supplies .....	7,313.00	
f. Travel .....	0.00	
g. Construction .....	0.00	
h. Other .....	10,531.00	
i. Contractual .....	12,141.00	
j. TOTAL DIRECT COSTS →	180,840.00	
k. INDIRECT COSTS	19,160.00	
l. TOTAL APPROVED BUDGET	200,000.00	
m. Federal Share	200,000.00	
n. Non-Federal Share	0.00	

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from item 11m)	200,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	200,000.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	0.00
13. Total Federal Funds Awarded to Date for Project Period	200,000.00

14. RECOMMENDED FUTURE SUPPORT

(Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

- a. DEDUCTION
- b. ADDITIONAL COSTS
- c. MATCHING
- d. OTHER RESEARCH (Add / Deduct Option)
- e. OTHER (See REMARKS)

**b**

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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
- b. The grant program regulations.
- c. This award notice including terms and conditions, if any, noted below under REMARKS.
- d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Pamela Render

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 00	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939061A	b. 000027DD16	c. 93.073	d. DD	e. \$0.00	f. 75-16-0956
22. a. 6-93906FV	b. 000027DD16	c. 93.073	d. DD	e. \$0.00	f. 75-1519-0943
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 09/23/2016
GRANT NO. 6 NU50DD000027-01-02	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NU50DD000027-01-02

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1. Budget Revision/Response to Weaknesses Approvals and Administrative Correction

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER:** DD 16-1605

**Revision #2**

**ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD**

**NOTE 1:** The correct Statutory Authority for this grant under FOA DD16-1605 is:

Sections 311, 317(C), of the Public Health Service Act (42 U.S.C. Sections 243, 247b-4).

**NOTE 2: REVISED BUDGET:** The purpose of this revised Notice of Award (NOA) is to approve the awardee's response to the Revised Budget condition, as required in the Notice of Award dated 7/29/2016. Based on the submission dated 9/1/2016, the revised budget narrative is approved as follows:

Salaries:	\$96,253
Fringe:	\$54,602
Supplies:	\$ 7,313
Contractual:	\$12,141
Other:	<u>\$10,531</u>
Total Direct:	\$180,840
Indirect Charges:	<u>\$ 19,160</u>
TOTAL:	\$200,000

**NOTE 3: TECHNICAL REVIEW/SUMMARY STATEMENT RESPONSE:** The purpose of this revised Notice of Award (NOA) is to accept the awardee's responses to the weaknesses listed in the Technical Review/Summary Statement, as required in the Notice of Award dated 7/29/2016. The Responses have been reviewed, accepted and noted in the file.

**NOTE 4: PERFORMANCE REPORTING:** The purpose of this revised Notice of Award is to amend the performance reporting requirement. The Annual Performance Report is due no later than 120 days prior to the end of the budget period, 07/31/2017, and serves as the continuation application. The report should include the information specified in the FOA.

**NOTE 5:** Please be advised that the grantee must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

**NOTE 6:** All other terms and conditions issued with the original Notice of Award remain in effect throughout the budget period unless changed in writing by the CDC Grants Management Officer.

PLEASE REFERENCE THE GRANT NUMBER ON ALL CORRESPONDENCE.



State of Utah

GARY R. HERBERT  
Governor

SPENCER J. COX  
Lieutenant Governor

## Department of Human Services

ANN SILVERBERG WILLIAMSON  
*Executive Director*

MARK L. BRASHER  
*Deputy Director*

JENNIFER C. EVANS  
*Director, Office of Fiscal Operations*

R. DON MOSS  
*Director, Bureau of Finance*

August 10, 2016

Ann Silverberg Williamson, Executive Director  
Department of Human Services  
195 North 1950 West  
Salt Lake City, UT 84116

RE: Title I: Neglected and Delinquent

Dear Ann:

DJJS is reapplying to receive Federal Title I pass through money from the Utah State Office of Education for one year in the amount of \$188,703. This funding will provide enhanced educational and vocational services for youths in state custody, so they can acquire marketable skills and successfully transition back in to the community.

You may contact Stacey Galli, 801-538-4133, or Jean Boyack, 801-538-4431, with any questions regarding this application.

Thank you,

Nathan Winters  
Budget Director

Approval

Ann Silverberg Williamson  
Executive Director

Attachments

slg

# STATE OF UTAH GOPB BUDGET IMPACT FORM FOR NON-FEDERAL GRANTS

1) Grant Title: Title I: Neglected and Delinquent (DJJS) Project Dates: From: 10/1/2016 To: 9/30/2017

2) Grantor: Federal Title I pass through from Utah State Office of Education

3) State Grant Identification (SGI#): 3) State Grant Identification (SGI#):

4) Annually appropriated: Yes  No  5) Grant Type (circle): Reapplication

6) Description and Purpose of Grant:  
 To provide enhanced educational and vocational services for youths in state custody so they can acquire marketable skills and successfully transition back in to the community

7) Does this grant require you to complete an application from the grantor? (If yes, provided a copy of the application) Yes

8) Total Funding Sources

(PLEASE PROVIDE EXPLANATION OF ALL MATCHES IN THE COMMENTS SECTION)

State Fiscal Year	Annual Grant Amount	MATCHING STATE DOLLARS				Total Funds
		General Fund	Dedicated Credits	Restricted Funds	Other (Write In)	
FY 2015 Actual					In-Kind (describe in #15)	Maintenance of Effort
FY 2016 Authorized	\$104,351					
FY 2017 Requested	\$188,703					
						\$104,351
						\$141,527

9) Percent of grant monies passed through to local governments/private entities: None

10) Identify pass through recipient(s): None

11) Will additional state monies be required to continue this program if this grant expires or is reduced? Yes  No  (if "Yes" explain in comments section or on a separate sheet)

12) Additional FTEs the grant requires: None 13) Are these permanent FTEs?  No  (if "Yes" explain in comments section or on a separate sheet) N/A

14) What requirements must the state meet as a condition of receiving monies and what impact will these requirements have on policy? (use separate sheet if needed)  
 There are no new requirements for the State Department of Human Services, Juvenile Justice Services except an additional reporting requirement on outcomes data and statistics required by the federal government and included in the "Title I Part D: Program Activity Accountability Report-Part A". The grant falls within the mission and policies of JJS.

15) Comments:  
 This grant does not include any FTE payments, it is for Purchased Professional and Technical Services and Supplies and Materials to be utilized to enhance educational and vocational services for youth in state custody. Additionally travel for course instructors from the Utah Safety Council Certification Courses is included in the amount of \$3,000. No Indirect Costs will be charged by DJJS.

16) Address of grantor:  
 Murray Meszaros Education Specialist  
 Utah State Office of Education  
 205 East 600 South  
 PO Box 144200  
 Salt Lake City, Utah 84114-4200

17) Your Contact Information:

a) Department:	Department of Human Services	d) Contact:	Jean L. Boyack, Federal Revenue Mng
b) Line Item / Division:	Division of Juvenile Justice Services	e) Phone #:	801-538-4431
c) Program:	KJE/KJA/KJJ	f) Date:	08/08/2016

Don Moss Questions:

1) Brief description of compliance requirements associated with the grant

- Requests for reimbursement must be made in a timely manner, no later than 30 working days from program/project closure.
- The DJJS will use all funding rules associated with Title 1, Part D and federal funding provisions including the resubmission of the grant application when any budget line of the approved application budget changes by more than 10%
- The DJJS agrees to meet all of the project's objectives and requirements, outlined within the narrative section of this application.
- Programs will improve and support the ability of neglected, delinquent, and at-risk students to make transitions from facilities and programs to their communities, continuing education, employment, and society at large.
- By October 30, 2017 programs will report Programmatic Outcome data and statistics as required by the federal government and included on the Title 1, Part D: Program Activity Accountability Report-Part A.

2) Name and title of division employee responsible to ensure grant compliance

Jean Boyack, Federal Revenue Manager will be the person responsible to ensure grant compliance. Tom will work in collaboration with Dorie Farah, Director, JJS Office of Correctional Facilities.

Dorie Farah- Program Director

Jean Boyack Federal Grants Manager II

3) Brief description of how required compliance will be monitored by the Division

An annual review of progress will be made to ensure that all required compliance has been completed. This review will be performed assuring correct programmatic and fiscal data has been collected in order to meet grant requirements.



FOR USOE USE ONLY	AF#:	C-20#:
	ND SITE: DJJS Grant October 1, 2016-Sept. 29, 2017	REQUESTED AMOUNT: \$188,702.50

# Title 1, Part D, Neglected or Delinquent Youth 2016-2017




Application for ND Academics Funds

<b>Application Timeline</b>	7/20/16	Federal Title I Part D, Neglected or Delinquent (ND) Application process initiated
	<u>08/12/16</u>	1. Electronic application due to: <a href="mailto:murray.meszaros@schools.utah.gov">murray.meszaros@schools.utah.gov</a>  2. Original signed assurances either emailed as PDFs or mailed to: Murray Meszaros Education Specialist Utah State Office of Education 205 East 500 South P.O. Box 144200 Salt Lake City, UT 84114-4200  <b>Submissions must be received no later than 5:00 p.m. on August 12, 2016</b>
	08/16/16 to 09/17/16	Applications reviewed within USOE system
	09/15/16	Application status and award notices provided to all applicants

<b>Grant Info</b>	<p style="text-align: center;"><b>Areas of Eligibility and Funding Period</b></p> <p>This ND funds application is for <u>Academics only</u>, which includes summer school, CTE classes, tutoring and other instructional services. The program narrative, abstract, needs assessment and intensity and duration of services must be written to match the services offered. The grant period will run through September 30, 2017.</p>
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# TITLE I COVER SHEET

Name and Address of Applicant Organization					
Agency Name	Division of Juvenile Justice		District #	_____	
Street Address	195 North 1950 West				
City	Salt Lake City	State	Utah	Zip	84116
Basic Demographics					
<b>Number of Facilities:</b> Give ONLY the number of facilities that will receive ND funding from this grant.					15
<b>Average Length of Stay:</b> The average length of stay should be weighted by number of students and should include the number of days, per stay, for each student enrolled during the reporting year, regardless of entry or exit date. Multiple stays for students who entered more than once during the reporting year can be included. 45-545 Days					
<b>Number of Students</b> that the LEA and JJS anticipate serving with this source of funds.					358

<u>Memorandum of Understanding (MOU)</u>	
<p>As APD, I agree and will support, with collaborative planning, commitment of appropriate time, and necessary resources, the intended plan and outcomes of this application.</p>	
JJS Site Chief Administrator	
<b>Name:</b> Susan Burke, DJJS Director	
<b>Telephone Number:</b> 801-538-8224	<b>Fax Number:</b>
<b>Email Address:</b> sburke@utah.gov	
<b>Signature:</b> 	<b>Date:</b> 08/08/2016

# TITLE I, PART D PROGRAM ASSURANCES

**INSTRUCTIONS:** This section is to be completed by the chief administrative officers of the applicant's organization. Applications lacking the name and signatures of the appropriate officials will be considered incomplete and returned to the program for revision.

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- 1) All students who are in resident for 90 or more days will be pre/post tested with TABE or any instrument approved by USOE.
- 2) All Title 1, Part D (ND) programs supported by ND Funding will begin no sooner than the date on the award letter and end on or before September 30 of the current program year, where applicable.
- 3) Requests for Reimbursements will be to USOE no later than 30 working days from program/project closure.
- 4) Request for Reimbursements

Since ND funds are federal, LEAs acquire ND funds via requests for reimbursements. The following guiding principles must be used in all funding situations:

- (a) **All** requests for reimbursements shall use the USOE-approved request for reimbursement form and must address the following for the reimbursement request to be processed by USOE:
    - (1) The correct, approved, final budget must be placed in the first column of the request form (see your approved application or most recent amendment for the currently-approved budget),
    - (2) Any significant change in the ND application's goals and targeted funding must be pre-approved by the USOE ND Coordinator in advance of the revision being implemented at the LEA level.
    - (3) Thereafter, having more than 10% change on any line of the budget from the approved budget requires the LEA to insert the original budget in the first column and revised budget in the second column of the request for reimbursement form.
    - (4) Complete documentation including copies of receipts must be submitted with reimbursement requests.
  - (b) With the **final** request for reimbursement using the USOE-approved request for reimbursement form, the LEA will provide with the reimbursement request the following items:
    - (1) all four items in (a) above and
    - (2) explanations, as necessary, and accompanying documentation including
      - (a) "staff salary and benefits" ledgers of funded staff;
      - (b) time and effort documentation, using the district's form, for all staff paid with ND funds;
      - (c) proof of payment (receipts, etc.) for supplies and materials, purchased services, travel, etc.
    - (3) Notation of "relinquishment" for any ND funds that have not been used and requested.
- 5) Funding for any program/project using the ND funding must have the full awareness and signatory support of local JJS administration. Completion of page two of this application will signify this support.

- 6) On page 14 herein, the LEA must provide teaching schedules per site (time and intensity illustration) if teaching is part of the application.
- 7) The LEA shall meet all of the project's objectives and requirements (see application narrative sections).
- 8) The LEA agrees that the program will be operated in full compliance with grant assurances, all State law, and USBE Rule covering programmatic and financial compliance rules and regulations.
- 9) Programs will improve and support the ability of neglected, delinquent, and at-risk students to make transitions from facilities and programs to their communities, continuing education, employment, and society at large.
- 10) No program or service offered may be outside the normal, credit-based services offered in a tradition K-12 school unless previously approved by the state ND coordinator. Non-credit, community-education classes are prohibited. No core classes may be sacrificed, cancelled, or postponed for any new classes or services. All market-sensitive, certificated classes that USOE does encourage to be offered should not interfere with credit-based instruction.
- 11) By **November 27** annually, LEAs MUST report PROGRAM outcome statistics required by the federal government and USOE. The data for this requirement is collected in the report, "***Title I Part D, Program Accountability Report.***" Reporting aspects include, but are not limited to, the following:
  - a) Unduplicated number of students who enrolled in their local school district, who earn credits, a GED, a high school diploma, and who were accepted or enrolled into post-secondary education programs ALL within 90 calendar days of leaving your program;
  - b) Unduplicated number of students who enrolled in elective job training courses or programs as well as enrolled in external job training or obtained employment within 90 calendar days of leaving your program;
  - c) The total number of long-term students who showed negative grade level, no changes in grade level, improvement of up to one full grade level, or improvement of more than one full grade level between pre-and post-test exams for both READING and MATH.

The LEA Chief Administrative Officer, LEA Business Administrator, and LEA Project Director certify that, to the best of their knowledge and belief, the data in this application are true and accurate, and that each has read and will comply with and support the application's intent, content and all assurances noted above.

<b>Signatures</b>	<b>District (LEA) Superintendent</b>		
	Name: Susan Burke, DJJS Director		
	Signature: 		Date: 8/8/16
	<b>LEA Business Administrator</b>		
	Name: Cecil Robinson, DJJS Administrative Services Director		
	Signature: 		Date: 8-8-2016
	Phone Number: 801-538-9843	Fax Number:	E-mail Address: crobinson@utah.gov
	<b>LEA Project Director</b>		
	Name: Debbie Whitlock, DJJS Deputy Director		
	Signature: 		Date: 8/8/16
Phone Number: 801-538-4311	Fax Number:	E-mail Address: debbiew@utah.go	

# BUDGET SUMMARY

**INSTRUCTIONS:** In the spaces provided, detail proposed budget allotments for each category. Remember to **use whole numbers**. It is not necessary to use all budget categories. The Indirect Cost Rate must be included – see link on row “I.” Refer to the appendix for specific descriptions of budget categories. Note: Any future change in actual or anticipated costs by more than 10% for any line item requires a written amendment, with explanations, for USOE approval **PRIOR** to proceeding with local plans.

Budget Category	ORIGINAL Budget Allotment <small>(whole Numbers)</small>	CHANGED Budget <small>(use only for amendment)</small>	Explanation and Detail
<b>A.</b> Salaries (100)	\$	\$	<p><b>Show calculations here.</b>  <i>Example: (# of teachers)(# of days)(# of hours/day)(\$/hr) = \$ ____</i></p> <p>• List, by name, each person paid a salary from this project on the “Staff Salary and Benefits” sheet.</p>
<b>B.</b> Employee Benefits (200)  _____ -  Total Salaries & Benefits	_____ -  \$	\$  \$	<p><b>Show calculations here.</b></p>
<b>C.</b>          Purchased Professional and Technical Services (300)	120,200.00	\$	<ol style="list-style-type: none"> <li>1. Why Try Level 1 Activities Training: = \$ 10,800.00</li> <li>Why Try Level 2 Activities Training: = \$8,000.00 Total = \$18,800.00</li> <li>2. Certification Course Instruction provided by Utah Safety Council and other providers. For example certifications may include: Alive at 25, First Aid, Lift Truck Operator, Fire Extinguisher, OSHA General Industry, Food Handler, Serv-Safe, Flagger. Total = \$35,000.00</li> <li>3. Rental of lift truck for training and certification = \$1,000.00</li> <li>4. Staff Training on Key Train = \$2,500</li> <li>5. Music instruction, performances, assemblies &amp; mentoring at 6 sites (\$3,500 per month) = \$40,500.00</li> <li>6. Drum Bus = \$ 22,400.00</li> </ol> <p>Decker, Wasatch, Mill Creek, Slate, Farmington Bay, Southwest, Genesis Washington County</p>

<b>D.</b> Purchased Property Services (400)	\$	\$	<u>Show calculations here.</u>
<b>E.</b> Other Purchases (500)	\$	\$	<u>Show calculations here.</u>
<b>F.</b> Travel (580)	\$2,000.00	\$	<b>1. Travel Expenses and mileage for Certifications and Utah Safety Council Training:</b> Total= \$2,000.00
<b>G.</b>  Supplies and Materials and Property less  than \$5,000 per item (600)	\$66,502.50	\$	<b>1. Why Try Program: 15 sites X 1 licenses X \$499.00 = \$ 7,485.00</b> One year on-line renewals = \$ 2,970.00 Game Plan Journal, 800 X \$10.00 = \$8,000.00 Total = \$18,455.00  <b>2. WorkKeys: 150 full assessments at \$21.75 = \$3,600.00</b> KeyTrain @ 1 main site license = \$4,300.00 5 satellites: \$1,200 X 5 license = \$6,325.00 Certificates \$7.00 X 200 = \$1,400.00 Total = \$15,625.00  <b>3. Literacy: 16 sites X \$1,000.00 books &amp; supplies = \$16,000.00</b>  <b>4. Rachel Server offline servers and laptops initial site = \$4,422.50</b>  <b>5. Music instruments &amp; equipment, instructional = \$12,000.00</b> materials & supplies, 6 sites \$2,000 per site.
<b>H.</b> Other (800)	\$	\$	<u>Show calculations here.</u>

<b>I. Total Direct Costs (Lines A through H)</b>	<b>188,702.50</b>	<b>\$</b>	

<b>J. Indirect Cost</b> • see link →	\$	\$	_____% Use the current year agreed upon district RESTRICTED percentage rate as shown in <a href="http://www.schools.utah.gov/adulted/DOCS/Directors/Indirect.aspx">http://www.schools.utah.gov/adulted/DOCS/Directors/Indirect.aspx</a> . If the district chooses a different rate, list the rate and who approved the change.
<b>K. Property (700)</b>			Note: Only items with an individual value of \$5,000 or greater are defined here. This is not an eligible category in ND.
<b>L. TOTAL (Lines I through K)</b>	<b>\$188,702.50</b>	<b>\$</b>	



# STAFF SALARY AND BENEFITS/ACADEMICS

## DETAIL OF EMPLOYEES PAID SALARY AND BENEFITS FROM ACADEMICS

A. Salaries (100) — Detail of Individuals

B. Benefits (200) — Detail of Individuals

\* NOTE: FTE is the percentage a staff member is paid from this project.

Name	Position	FTE 1.00 - .75 .25 - .33, etc.	Hours Per Week	Facility	Total Salary paid from this project	Total Benefits paid from this project	CACTUS Number, License Area & Expiration Date
Arthur XXXXX	Teacher	1.00	32.00	Zsezsezse Center	\$6,230	\$2,012	#####, Sec. Ed, Speech, History
TBA	Teacher Asst.	1.00	32.00	Zsezsezse Center	\$3,758	\$1,252	N/A
<b>TOTALS:</b>					<b>A= \$ 0.00</b>	<b>B= \$ 0.00</b>	<b>A+B= \$ 0.00</b>

# PROGRAM NARRATIVE

## Major Focus

Mark with an X each type of service for which Federal Title I funds will be used.

### A. Direct Academic Services

	2015 Summer School
X	Direct instruction to ND students in meeting the State's academic content standards and student academic achievement standards in reading and math.
X	Tutoring
	TABE Testing or other comprehensive assessment (pre- and post- testing) of reading and math competency of all students in the institution or program serving juveniles.
	Credit Recovery
	Credit generating CTE classes.
	GED Testing Preparation
X	Non-credit CTE Classes such as Food Handlers permit, etc.
	Other (Please describe very briefly here and expand in Program Abstract)

### B. Transition Services

X	Mentors for children and youth in the institution or programs serving juveniles that are expected to complete incarceration within a 2-year period
X	Personal, career and technical, and academic counseling
X	Transition and placement support services designed to place the youth in a university, college, or community college program
X	Information concerning, and assistance in obtaining, available student financial aid
X	Counseling services
X	Job placement services
	Worksite schools, in which institutions of higher education and private or public employers, partner to create programs to help students make a successful transition to post-secondary education and employment
	Pre-placement programs that allow adjudicated or incarcerated youth to audit or attend courses on college, university, or community college campuses or through programs provided in institutional settings
X	Successful re-entry of youth offenders, who are age 21 or younger and have received a secondary school diploma or its recognized equivalent, into post-secondary education, or vocational and technical training programs

	Transition from State Operated Correctional Institutions to traditional LEAs
	Work with Courts
	Records Acquisition
	Concurrent Enrollment
	Other (Please describe very briefly here and expand in Program Abstract)

## Program Abstract

Briefly describe (a) the allowable funding areas the LEA is pursuing, (b) the purpose of this program and identify its major focus and (c) why. (Response limited to one page.)(See the Resource Guide for Neglected or Delinquent Application for Funds.)

**Goal:** To provide enhanced educational and vocational services for youths in state custody so they can acquire marketable skills and successfully transition back into the community.

**Target Population:** DJJS youth in Secure Care, Observation and Assessment, Work Camp and Community Placements.

The Why Try Program is a multi-sensory, strength-based approach to helping youth overcome their challenges and improve outcomes in the areas of truancy, behavior and academics. Youth are taught social, emotional and leadership principles and skills that address the major criminogenic needs and risk factors using evidence based strategies. Staff are trained in effective behavioral and cognitive approaches that create a more positive, productive and safer environment for youths. This program has been used and tested in over 16,000 schools and organizations. The WhyTry Program has been proven to increase GPA and graduation rates, reduce failure and expulsion, decrease rule-breaking behaviors, improve self-concept and emotional health, increase resilience, and improve academic progress in all areas.

ACT WorkKeys is a job skills assessment system that evaluates students in three major areas - Applied Mathematics, Locating Information, and Reading for Information. Students receive the ACT National Career Readiness Certificate after successful completion. The ACT Work Readiness System is a tutorial program that prepares students for the WorkKeys assessment. WorkKeys has helped millions of people in high schools, colleges, professional associations, businesses, and government agencies increase work-place readiness and develop successful career pathways. Many Utah businesses endorse and require the ACT National Career Readiness Certificate.

**College and Career Readiness:** Students who have obtained their high school diploma or GED would be enrolled in college and career readiness programs to include college entrance exam preparation and testing, job readiness training, and workplace training. Students would be transported to Wasatch Youth Center one or two days per week for a full school day. Each student would be provided access to a laptop with educational applications, including college prep and testing, job training and career readiness. Certification Course Instruction will be provided as requested including food handler's permits; First Aid and CPR; Lift Truck Operation; Serv-Safe; OSHA and Fire Extinguisher training, Flagger, etc.

**Literacy:** Literacy programming will be offered at all sites to include inter-site book clubs, discussions, reading for pleasure and reading that supports the core curricula.

**Music Appreciation & Performance Classes:** This course and music program will provide opportunities for students to develop their musical potential and understanding through learning to play the guitar, percussion instruments and sing. Emphasis will be placed on learning to read music and perform for an audience. Studies have shown that music training can positively affect language development, reasoning, teamwork, discipline, standardized test performance, mental health and empathy.

# NEEDS ASSESSMENT, OBJECTIVES, ACTIVITIES, & EVALUATION

Address each of the four categories clearly linking the needs assessment through to the evaluation. Multiple needs may be outlined in the Needs Assessment area. Each Needs Assessment must be addressed separately in each category. Identifying labels, such as numbers or letters, may be used to connect the process through all four categories.

<p><u>Needs Assessment</u></p> <p>Describe what GAP in services exists, how the NEED/GAP was assessed, and why it is critical to have this service.</p>	<p><u>Objectives that Address the Need</u></p> <p>Clearly state a performance objective for each need. Demonstrate how this objective will fulfill the NEED and improve the likelihood of ND students to earn school credit, graduate, transition successfully, and decrease the likelihood of recidivism.</p>	<p><u>Activities to be Conducted to Fulfill the Objective and Projected Cost</u></p> <p>List and define all activities and associated allowable costs that will fulfill the objective.</p>	<p><u>Evaluation of Objectives and Activities</u></p> <p>Describe how each activity and overall objective will be evaluated including the process, instruments, measurable outcomes, and types of data collected.</p>
<p>Currently there is a need for consistent, evidenced based programming and implementation statewide at all DJJS secure facilities that effectively address the re-entry and criminogenic needs of incarcerated youths.</p> <p>Students in secure care facilities and the JJS system need enhanced educational and vocational services to acquire marketable job skills and successfully transition back into educational and vocational training programs.</p> <p>To significantly impact recidivism and long term successful student outcomes educational and treatment resources need to be aligned with individual treatment goals, re-entry plans and effective programming beyond the regular compulsory school day.</p>	<p><b>Goal:</b> To provide enhanced educational and vocational services for youths in state custody so they can acquire marketable skills and successfully transition back into the community.</p> <p><b>Target Population:</b> DJJS youth in Secure Care, Observation and Assessment, Work Camp and Community Placements.</p> <p>The WhyTry Program is a multi-sensory, strength-based approach to helping youth overcome their challenges and improve outcomes in the areas of truancy, behavior and academics. Youth are taught social, emotional and leadership principles and skills that address the major criminogenic needs and risk factors using evidence based strategies. The WhyTry Program has been proven to increase GPA and graduation rates, reduce failure and expulsion, decrease rule-breaking behaviors, improve self-concept and emotional health, increase resilience, and improve academic progress in all areas.</p> <p>ACT WorkKeys is a job skills assessment system that evaluates students in three major areas - Applied Mathematics.</p>	<p><b>Why Try?:</b> \$30,055.00</p> <p>WorkKeys &amp; KeyTrain: \$15,625.00</p> <p>Course Instruction &amp; Certification (including college &amp; career readiness if appropriate): \$35,000.00+\$3,000.00 for travel costs+\$1,000.00 for lift truck rental</p> <p>Literacy: \$16,000.00</p> <p>Rachel Servers and laptops for site \$4422.50</p> <p>Purchase Instruments &amp; Provide Music Instruction (includes Drum Bus) : \$62,900.00</p> <p style="text-align: right;"><b>Total: \$188,702.50</b></p>	<p>All data maintained and reported to the State Director.</p> <p><b>Why Try:</b></p> <ol style="list-style-type: none"> <li>1. Number of staff trained on Why Try Program.</li> <li>2. Number of youth completing the Why Try Program.</li> <li>3. Number of youth demonstrating greater competency via pre/post testing.</li> <li>4. Reduced behavioral incidents and suspensions.</li> <li>5. Increased GPA.</li> </ol> <p><b>WorkKeys:</b></p> <ol style="list-style-type: none"> <li>1. Number of students completing the ACT Work Readiness System and completing the WorkKeys Assessments.</li> <li>2. Total number of Career Readiness Certificates earned.</li> <li>3. Number of employed youth.</li> </ol> <p>Course Instruction and Certification including college &amp; career Readiness:</p>

Locating Information, and Reading for Information. Students receive the ACT National Career Readiness Certificate after successful completion. This assessment helps with work-place readiness and develops successful career pathways. Many Utah businesses endorse and require the ACT National Career Readiness Certificate.

College and Career Readiness: Students who have obtained their high school diploma or GED would be enrolled in college and career readiness programs to include college entrance exam preparation and testing. Each student would be provided access to a laptop with educational applications, including college prep and testing, job training and career readiness. Certificates in areas contributing to job readiness, with training certifications, and workplace training will be provided. Areas of potential focus include: food handler's permits; First Aid and CPR; Lift Truck Operation; Serv-Safe; OSHA and Fire Extinguisher training, Flagger, etc.

Literacy: Literacy programming will be offered at all sites to include inter-site book clubs, discussions, reading for pleasure and reading that supports the core curricula.

Music Instruction will provide opportunities for students to develop their musical abilities.

1. Number of students that complete a college preparation course
  2. Number of students that complete career readiness certification/course.
  3. Number of students that take the ACT/SAT or other college entrance exam tests or other certification test.
  4. Number of students that complete job readiness/workplace skills courses.
  5. Pre/Post reading assessment.
  6. Number of certifications completed
  7. Number of kids who employed in certification area.
  8. Number of kids who get employment in a different area.
- Literacy:
1. Number of students participating in book club and literacy activities.
  2. Number of books or pages read by students.
- Music:
1. Purchase guitars, percussion instruments, instructional materials, & equipment.
  2. Music classes provided by instructors with specific knowledge & performance skill objectives.

# INTENSITY AND DURATION OF SERVICES

Define the instructional service pattern for all sites where the ND funds will be used.

Program Year: 2016-17 Begin Date: 10/1/2016 End Date: 9/30/2017

**Site by name and address:**

Monday		Tuesday		Wednesday		Thursday		Friday		Saturday		Sunday	
Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered

**Second site by name and address:**

Monday		Tuesday		Wednesday		Thursday		Friday		Saturday		Sunday	
Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered	Services Offered	Time Offered

# APPENDIX

## BUDGET CATEGORIES - DEFINED

### LINE ITEM A (Salaries – 100)

Full or part-time salaries for project employees must be included in this grant application. This item should not include stipends paid to employees for work outside of their regular contract. Stipends should be included in item C below. If salary funds are identified in the application, please indicate the basis of computing these salaries. Director, coordinator, and clerical salaries not directly tied to classroom activities are considered administrative in nature.

### LINE ITEM B (Employee Benefits – 200)

Employee benefits for project employees must be included in this application. Such employee benefits may include state retirement, Social Security, local retirement, group insurance, industrial insurance, unemployment insurance, and any other employee benefits not classified above. Employee benefits related to stipends for teachers or other regular employees who work outside of their regular contract may also be placed in this line item. Director, coordinator, and clerical salaries not directly tied to classroom activities must be considered administrative.

### LINE ITEM C (Purchased Professional and Technical Services – 300)

This budget category includes those services which, by their nature, must be performed by persons with specialized knowledge, skills, or abilities. Providers (consultants) of such services, all travel, meals, lodging, honorarium/fees, materials, and related expenses are to be included in this category. Such consultants might also include staff of the applicant who might serve in this capacity during those times when they are not salaried employees of the grantee, including summers, weekends, holidays, or other non-contractual time. For each consultant provide name, anticipated consultant fees, number of contracted days of work, and purpose of proposed expenditures. This category also includes stipends paid to employees for work outside of their regular contract which may be instructional (i.e., professional development) or administrative depending on activity. Yearly program audits are also included in this item.

**Note:** Some of these expenditures may be administrative in nature.

### LINE ITEM D (Purchased Property Services – 400)

Applicants may receive funding support for variety of services rendered by organizations and personnel not on the payroll of the applicant pertaining to operation, maintenance, insurance, and rental property used by the applicant. Typical expenditures in this category include RELEVANT/ESSENTIAL utility service, cleaning services, disposal services, custodial services, lawn care services, equipment repair, vehicle repair, rental of buildings, equipment, or vehicles, etc. Provide specific information about such anticipated costs.

**Note:** These expenditures are administrative in nature.

### LINE ITEM E (Other Purchases – 500)

This budget category includes all amounts paid for services rendered by organizations or personnel not on the payroll of the applicant other than Professional and Technical Services (300) or Property Services (400). Such expenditures may include communications, advertising, printing and binding, property insurance, liability insurance, telephones, postage meter, etc. Provide specific information about all projected expenditures and how they are relevant to the program's success.

**Note:** some of these expenditures may be administrative in nature.

### LINE ITEM F (Travel – 580)

This budget category includes travel of instructional staff to and from remote teaching sites or staff travel to required USOE director meetings.



**LINE ITEM G (Supplies, Materials and Property with Itemized Value less than \$5,000 per Item)**

Applicant may receive funding support for a variety of items of an expendable nature that are consumed, worn out, or have deteriorated with use. Items that lose their identity through fabrication or incorporation into different or more complex units or substances are also considered supply expenditures. Expenditures in this category might include, but are not limited to, software, paper, writing tools, books, textbooks, manuals, reproduction costs, binders, classroom computer and printers, overhead projectors, audiovisual materials, courseware, assessment instruments, etc. Items to be purchased must be identified and detailed by quantity and cost per item.

**Note:** Some of these expenditures may be administrative in nature.

**LINE ITEM H (Other – 800)**

This line item is seldom used, but it is included to use with the purchase of goods and services not otherwise classified above.

**LINE ITEM I (Total Direct Costs)**

Total of lines A through H.

**LINE ITEM J (Indirect Costs)**

Any indirect costs charged to this project fall within the allowable five percent (5%) administrative cap. Indirect costs for school districts are to be calculated with the state formula. Use the Utah State Office of Education Indirect Cost Rates for the current fiscal year. <http://schools.utah.gov/finance/Financial-Reports/Indirect-Costs.aspx> Title I Part D is a federal grant and uses the restricted rate.

**LINE ITEM K (Property – 700)**

This is not an eligible category for ND funding.

**ADDITIONAL INFORMATION:**

- At least 90 percent (90%) of requested funding must be spent on direct services to students, e.g., classroom teaching activities, textbooks, classroom supplies, etc.
- No more than ten percent (10%) may be spent on administrative activities, e.g., administrator compensation and benefits, rent, utilities, equipment repair, office supplies, and indirect costs charged by a respective organization, etc.
- In the event that an eligible provider is awarded multiple grants under Title 1, Part D, the ten percent (10%) administrative cap must be figured on each individual grant and not on the sum total of Title 1, Part D funding awarded.

**Note:** In cases where the ten percent (10%) administrative cap is too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the eligible providers may negotiate with the Utah State Office of Education in order to determine an adequate level of funds to be used for non-instructional purposes.

**UNALLOWABLE ITEMS:**

- Advertising and Promotion costs
- Alcoholic beverages
- Alumni activities
- Bad debts
- Entertainment
- Commencements, graduation ceremonies, convocations
- Contributions and donations

- Cost of institution furnished automobiles that relates to personal use by employees
- Costs for defense and prosecution of criminal or civil proceedings, claims, appeals and patent infringements
- Donations and contributions
- Fines and penalties resulting from violations of, or failure of the institution to comply with Federal, State and local or foreign laws and regulations
- Fund raising, solicitations, gifts, or investment costs
- GED administration
- Goods or services for personal use
- Housing and personal living expenses
- Lobbying
- Membership costs
- Relocation costs incurred incident to recruitment of a new employee
- Salaries or expenses for school boards or boards of directors
- Scholarships and student aid costs
- Food treats, etc.



SOC Implementation  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

**Grant Number:** 1U79SM061631-01 REVISED  
**FAIN:** SM061631

**Program Director:**  
RUTH WILSON

**Project Title:** Utah Dept. of Human Svcs. SOC

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES Lana Stohl Utah Dept. of Human Svcs.  195 North 1950 West Salt Lake City, UT 84116	Ann SilverbergWilliamson Executive Director Utah Dept. of Human Svcs. 195 North 1950 West Salt Lake City, UT 84116

**Budget Period:** 09/30/2014 – 09/29/2018  
**Project Period:** 09/30/2014 – 09/29/2018

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Sections 561-565 of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on “Grants” then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,

Gwendolyn Simpson  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 1U79SM061631-01 REVISED**

**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$1,138,100
Fringe Benefits	\$804,785
Personnel Costs (Subtotal)	\$1,942,885
Equipment	\$67,000
Supplies	\$62,200
Consortium/Contractual Cost	\$1,724,675
Travel Costs	\$200,316
Other	\$898,595
<b>Direct Cost</b>	<b>\$4,895,671</b>
<b>Indirect Cost</b>	<b>\$11,711</b>
<b>Approved Budget</b>	<b>\$7,565,492</b>
<b>Federal Share</b>	<b>\$4,907,382</b>
<b>Non-Federal Share</b>	<b>\$2,658,110</b>
<b>Less Unobligated Balance</b>	<b>\$907,382</b>
<b>Cumulative Prior Awards for this Budget Period</b>	<b>\$4,000,000</b>

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

<b>SUMMARY TOTALS FOR ALL YEARS</b>	
<b>YR</b>	<b>AMOUNT</b>
1	\$4,000,000

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

**Fiscal Information:**

**CFDA Number:** 93.104  
**EIN:** 1876000545A8  
**Document Number:** 14SM61631A  
**Fiscal Year:** 2014

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SM	C96C133	\$4,000,000

<b>IC</b>	<b>CAN</b>	<b>2014</b>
<b>SM</b>	<b>C96C133</b>	<b>\$4,000,000</b>

**SM Administrative Data:**

**PCC:** CMHI / **OC:** 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1U79SM061631-01 REVISED**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General,

Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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**SECTION III – TERMS AND CONDITIONS – 1U79SM061631-01 REVISED**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

**Treatment of Program Income:**  
Additional Costs

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**SECTION IV – SM Special Terms and Conditions – 1U79SM061631-01 REVISED**

**REMARKS:**

This award is revised to approve and authorize you to carryover and use \$907,381 unobligated balance from the first 12- month incremental budget period -01 to the second 12-month incremental budget period-02, as requested in the recipient's letter

ALL PREVIOUS TERMS AND CONDITIONS REMAIN IN EFFECT UNTIL SPECIFICALLY APPROVED AND REMOVED BY THE GRANTS MANAGEMENT OFFICER.

Diane L Sondheimer, Program Official

**Phone:** (240) 276-1980 **Email:** [diane.sondheimer@samhsa.hhs.gov](mailto:diane.sondheimer@samhsa.hhs.gov) **Fax:** (240) 276-1990

Gwendolyn Simpson, Grants Specialist

**Phone:** 240-276-1408 **Email:** [gwendolyn.simpson@samhsa.hhs.gov](mailto:gwendolyn.simpson@samhsa.hhs.gov) **Fax:** 240-276-1430



PATH Formula Grant  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

**Grant Number:** 2X06SM016045-16

**FAIN:** SM016045-16

**Contact Person:** Ann Williamson

**Program:** PATH

UTAH STATE DEPARTMENT OF HUMAN SERVICES  
Ann Williamson  
Division of Substance Abuse and Mental Health  
195 North 1950 West  
Salt Lake City, UT 84116

**Award Period:** 07/01/2016 – 06/30/2017

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$591,777 (see "Award Calculation" in Section I) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of P.L. 101-645 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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,  
Wendy Pang  
Grants Management Officer  
Division of Grants Management

See additional information below

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**SECTION I – AWARD DATA – 2X06SM016045-16**

**FEDERAL FUNDS APPROVED:** \$591,777  
**AMOUNT OF THIS ACTION (FEDERAL SHARE):** \$591,777  
**CUMULATIVE AWARDS TO DATE:** \$591,777  
**UNAWARDED BALANCE OF CURRENT YEAR’S FUNDS:** \$0  
**NON-FEDERAL SHARE:** \$295,295

**Fiscal Information:**

**CFDA Number:** 93.150  
**EIN:** 1876000545A8  
**Document Number:** 16SM16045A  
**Fiscal Year:** 2016

IC	CAN	16
SM	C96J570	\$591,777

**PCC: PATH / OC: 4115**

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 2X06SM016045-16**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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**SECTION III – TERMS AND CONDITIONS – 2X06SM016045-16**

- 1) State agencies must comply with statutory requirements in the authorizing legislation (P.L. 101-645, Title V, Subtitle B) and as specified in the agreement signed by the Governor and submitted with the PATH application.
- 2) The State agency designated by the Governor to be the recipient of the PATH Formula Grant will be legally and financially responsible for all aspects of the grant, including funds contracted/or granted to political subdivisions of the State and/or non-profit entities.
- 3) Grants will not be made to any entity that—
  - (a) has a policy of excluding individuals from mental health services due to the existence or suspicion of substance abuse; or
  - (b) has a policy of excluding individuals from substance abuse services due to the existence or suspicion of mental illness.

4) MAINTENANCE OF EFFORT -- The State agency may not make payments under Section 521 of the Public Health Service Act (42 U.S.C. 290cc-21), unless the State involved agrees that the State will maintain State expenditures for services specified in subsection (b) of this section at a level that is not less than the average level of such expenditures maintained by the State for the 2 year period preceding the fiscal year for which the State is applying to receive such payments.

5) The State agency must revise the Intended Use Plan to reflect substantial changes in PATH-funded activities. Revised plans are subject to approval by the Center for Mental Health Services (CMHS).

6) The Uniform Guidance 2 CFR Part 200/45 CFR Part 75 is effective for awards made on or after December 26, 2014.

7) Grantees must submit to the Government Project Officer a behavioral health disparity impact statement (DIS) as described in Appendix H (Addressing Behavioral Health Disparities) of the FY 2016 PATH FOA by November 30, 2016. An example of a PATH program health disparity impact statement can be found on the SAMHSA website at: <http://www.samhsa.gov/grants/grants-management/disparity-impact-statement>.

8) Grantees must submit an annual report which provides information on actual performance in accordance with OMB approved PATH Annual Report Form and PATH Annual Report Provider Guide no later than January 31, 2017.

9) The State must agree to make available, directly or through donations from public or private entities, non-Federal contributions of at least \$1 (in cash or in kind) for each \$3 of Federal funds. The costs borne by the matching and in-kind contributions are subject to the rules governing allowability in 45 CFR Part 75.403, along with other terms and conditions of the award that govern the expenditure of Federal funds. The Federal Funds Approved is subject to adjustment should the State not meet the match amount.

10) Grantees must obligate grant funds within the 12 month grant period for goods and services purchased within 24 months of the beginning date of the grant period, with all funds liquidated within 27 months. As stated in 45 CFR Part 75.2, the term obligation means orders placed for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.

11) PATH funds must be used to supplement, not supplant, existing services to individuals who have serious mental illness, or who have co-occurring serious mental illness and substance use disorders, and who are homeless or at imminent risk of becoming homeless.

12) The basis for determining the allowability of costs charged to the grant is in 45 CFR 75.403 and the authorizing legislation for the PATH Program. In particular, grant funds may not be expended:

- (a) to support emergency shelters or construction of housing facilities;
- (b) for inpatient psychiatric or substance abuse treatment costs; or
- (c) for cash payments to intended recipients of mental health or substance abuse services.

13) No more than 4 percent of the payment received under the PATH Formula Grant Program may be expended for administrative expenses.

14) No more than 20 percent of the PATH Formula Grant may be expended for housing services as defined in the legislation.



15) None of the funds in this grant shall be used to pay the salary of an individual through a grant or other extramural mechanism at a rate in excess of Executive Level II of the Federal Executive Pay Scale which is currently \$185,100 annually.

16) When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, the State shall clearly indicate (1) the percentage of the total costs of the program or project which will be financed with Federal money, (2) the dollar amount of the Federal funds for the project or program, and (3) the percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

17) Any program income generated by this grant may be used in accordance with the additional costs alternative of 45 CFR Part 75.307(e)(2) to further the objectives of the PATH program. Program income must be reported on the Federal Financial Report (Standard Form 425).

18) A Federal Financial Report (FFR) - Standard Form 425 must be submitted by email at [grant.closeout@samhsa.hhs.gov](mailto:grant.closeout@samhsa.hhs.gov), no later than 90 days after the 24 month period from the beginning date of the grant period. The required non-Federal contributions must be shown in the Recipient's Share of Net Outlays section of the FFR.

19) Accounting Records and Disclosure: Awardees and subrecipients must maintain records which adequately identify the source and application of funds provided for financially assisted activities.

20) Audit requirements for Federal award recipients are defined in 45 CFR Part 75 Subpart E, <http://www.ecfr.gov/cgi-bin/text-idx?SID=06a0b0411d1520fae5e2799030e64ebf&node=pt45.1.75&rgn=div5>

An organization is required to have a non-Federal audit if, during its fiscal year, it expended a total of \$750,000 or more in Federal awards. Federal awards are defined in 45 CFR Part 75.2 Federal financial assistance and Federal cost reimbursement contracts received both directly from a Federal awarding agency as well as indirectly from a pass-through entity.

SF-SACs and Audit reports MUST be submitted online. For questions and information concerning the submission process, please visit <http://harvester.census.gov/fac/collect/ddeindex.html> or you may call the Federal Audit Clearinghouse (800-253-0696).

21) The Department of Health and Human Services' (HHS), Office of General Counsel (OGC) has provided guidance on how the lobbying restrictions in the Fiscal Year 2012 Consolidated Appropriations Act (CAA, 2012) will affect HHS programs. Section 503 of the Labor, HHS, and Education Appropriation Act (Division F of the CAA, 2012) is the most comprehensive provision focused on lobbying restrictions. Recent changes to this section may have implications for SAMHSA and its recipients. Language provided by OGC, below provides specific guidance on: agency actions; recipient lobbying; tax increases and other restrictions on legal consumer products; and clarification of Internal Revenue Code provisions.

#### SEC. 503 - Agency Actions

a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local

government, except in presentation to the executive branch of any State or local government itself.

#### Section 503(b) - Recipient and Contractor Lobbying

b) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

22) Grantee must plan to send the State PATH Contact or designee to the SAMHSA Homeless Programs Grantee meeting. This meeting will be held in the Washington, DC area and attendance is mandatory.

23) This award is subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=2&SID=30cef173ce45f9ae560f5ba6faf646b4&ty=HTML&h=L&n=pt2.1.175&r=PAR>

24) Confidentiality of Alcohol and Drug Abuse Patient Records regulations (42 CFR 2) are applicable to any information about alcohol or drug abuse patients obtained by a program (42 CFR 2.11), if the program is federally assisted in any manner (42 CFR 2.12b). Accordingly all PATH program patient records are confidential and may be disclosed and used only in accordance with (42 CFR 2). The grantee is responsible for assuring compliance with these regulations and principles, including responsibility for assuring the security and confidentiality of all electronically transmitted patient material.

25) This award action is not subject to the FFATA subaward and executive compensation reporting requirements.

26) You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Government wide implementation (2 CFR part 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).

27) Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG) all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:

SAMHSA

Attention: Office of Financial Advisory Services  
5600 Fishers Lane  
Rockville, MD 20857

AND

U.S. Department of Health and Human Services Office of Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW, Cohen Building, Room 5527  
Washington, DC 20201  
Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or Email:  
[MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov) .

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 & 376 and 31 U.S.C. 3321).

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.



CABHI-States-Enhancement  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Issue Date: 02/03/2016

Center for Mental Health Services

**Grant Number:** 1H79SM061666-01 REVISED  
**FAIN:** SM061666

**Program Director:**  
Robert H Snarr

**Project Title:** CABHI-UT Project

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES  Substance Abuse & Mental Health 195 North 1950 West Salt Lake City, UT 841163100	Utah Department of Human Services Executive Director 195 North 1950 West Salt Lake, UT 84116

**Budget Period:** 09/30/2014 – 09/29/2017  
**Project Period:** 09/30/2014 – 09/29/2017

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 509 & 520A of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on “Grants” then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,

Tomara Baker  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 1H79SM061666-01 REVISED**

**Award Calculation (U.S. Dollars)**

<b>Salaries and Wages</b>	\$304,356
<b>Fringe Benefits</b>	\$118,818
<b>Personnel Costs (Subtotal)</b>	\$423,174
<b>Supplies</b>	\$17,049
<b>Consortium/Contractual Cost</b>	\$3,060,000
<b>Travel Costs</b>	\$6,840
<b>Other</b>	\$71,778
<b>Direct Cost</b>	\$3,578,841
<b>Indirect Cost</b>	\$21,159
<b>Approved Budget</b>	\$3,600,000
<b>Federal Share</b>	\$3,600,000
<b>Cumulative Prior Awards for this Budget Period</b>	\$3,600,000

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

<b>SUMMARY TOTALS FOR ALL YEARS</b>	
<b>YR</b>	<b>AMOUNT</b>
1	\$3,600,000

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

**Fiscal Information:**

**CFDA Number:** 93.243  
**EIN:** 1876000545A8  
**Document Number:** 14SM61666A  
**Fiscal Year:** 2014

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SM	C96C521	\$1,882,080
TI	C96T509	\$1,717,920

<b>IC</b>	<b>CAN</b>	<b>2014</b>
<b>SM</b>	<b>C96C521</b>	<b>\$1,882,080</b>
<b>TI</b>	<b>C96T509</b>	<b>\$1,717,920</b>

**SM Administrative Data:**

**PCC: CABHI-ST / OC: 4145**

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1H79SM061666-01 REVISED**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW,

Washington, DC 20201.

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**SECTION III – TERMS AND CONDITIONS – 1H79SM061666-01 REVISED**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – SM Special Terms and Conditions – 1H79SM061666-01 REVISED**

**REMARKS:**

This award approves the carryover of an unobligated balance in the amount of \$525,073 from year 1 into year 2 which was submitted on December 18, 2015. If the final resolution of the audit covering the above stated budget period(s) determines that the unobligated balance of funds is incorrect, SAMHSA will not make additional funds available to cover any shortfall.

**All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.**

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

**CONTACTS:**

Carl M Yonder, Program Official

**Phone:** (240) 276-1916 **Email:** Carl.Yonder@samhsa.hhs.gov

Tomara Baker, Grants Specialist

**Phone:** (240) 276-1407 **Email:** Tomara.Baker@samhsa.hhs.gov



SPF-PFS  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Center for Substance Abuse Prevention

**Grant Number:** 5U79SP020152-03 REVISED  
**FAIN:** SP020152

**Program Director:**  
Craig L PoVey

**Project Title:** SPF-PFS: This grant is a cooperative agreement that focuses on addressing priorit

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES Program Administrator 195 North 1950 West Salt Lake City, UT 841163100	UTAH STATE DEPARTMENT OF HUMAN SERVICES Executive Director 195 North 1950 West Salt Lake City, UT 841163100

**Budget Period:** 09/30/2015 – 09/29/2016  
**Project Period:** 09/30/2013 – 09/29/2018

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 516 of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,

Andrew Payne  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 5U79SP020152-03 REVISED**

**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$80,660
Fringe Benefits	\$34,053
Personnel Costs (Subtotal)	\$114,713
Supplies	\$3,400
Consortium/Contractual Cost	\$2,406,277
Travel Costs	\$14,662
Other	\$122,860
<b>Direct Cost</b>	<b>\$2,661,912</b>
<b>Indirect Cost</b>	<b>\$5,736</b>
<b>Approved Budget</b>	<b>\$2,667,648</b>
<b>Federal Share</b>	<b>\$2,667,648</b>
<b>Less Unobligated Balance</b>	<b>\$1,160,084</b>
<b>Cumulative Prior Awards for this Budget Period</b>	<b>\$1,507,564</b>

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

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
3	\$1,507,564
4	\$1,507,564
5	\$1,507,564

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

**Fiscal Information:**

CFDA Number: 93.243  
 EIN: 1876000545A8  
 Document Number: 13SP20152A  
 Fiscal Year: 2015

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SP	C96V012	\$1,507,564

IC	CAN	2015	2016	2017
SP	C96P124		<b>\$1,507,564</b>	<b>\$1,507,564</b>
SP	C96V012	<b>\$1,507,564</b>		

**SP Administrative Data:**

PCC: PFS 2013 / OC: 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5U79SP020152-03 REVISED**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-



800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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**SECTION III – TERMS AND CONDITIONS – 5U79SP020152-03 REVISED**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

**Treatment of Program Income:**

**Additional Costs**

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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**SECTION IV – SP Special Terms and Conditions – 5U79SP020152-03 REVISED**

**REMARKS:**

This action approves the carryover of unobligated balance of prior year funds to the 03 year in the amount of \$1,160,084 which was originally submitted on March 02,2016 based on grants management specialist's request. If the final resolution of the audit covering the above stated budget period(s) determines that the unobligated balance of funds is incorrect, SAMHSA will not make additional funds available to cover any shortfall.

**SPECIAL CONDITIONS OF AWARD:**

NONE

**SPECIAL TERMS OF AWARD:**

NONE

**STANDARD TERMS OF AWARD:**

ALL PREVIOUS TERMS AND CONDITIONS REMAIN IN EFFECT UNTIL SPECIFICALLY APPROVED AND REMOVED BY THE GRANTS MANAGEMENT OFFICER.

**CONTACTS:**

Kemar Mapp, Program Official

**Phone:** (240) 276-1241 **Email:** [Kemar.Mapp@samhsa.hhs.gov](mailto:Kemar.Mapp@samhsa.hhs.gov)

Andrew Payne, Grants Specialist

**Phone:** (240) 276-1238 **Email:** [Andrew.Payne@samhsa.hhs.gov](mailto:Andrew.Payne@samhsa.hhs.gov) **Fax:** (240) 276-1430



Healthy Transitions  
 Department of Health and Human Services  
 Substance Abuse and Mental Health Services Administration

**Issue Date:** 06/16/2016

Center for Mental Health Services

**Grant Number:** 5H79SM061974-03  
**FAIN:** SM061974

**Program Director:**  
 David Moss

**Project Title:** Utah Transition Youth Empowered to Succeed (UT YES)

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES David Moss Program Director 195 North 1950 West Salt Lake City, UT 841163097	Ann Williamson Executive Director Utah Department of Human Services 195 North 1950 West Salt Lake City, UT 841163097

**Budget Period:** 09/30/2016 – 09/29/2017  
**Project Period:** 09/30/2014 – 09/29/2019

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$1,000,000 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 520 as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on “Grants” then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,

Gwendolyn Simpson  
 Grants Management Officer  
 Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 5H79SM061974-03**

**Award Calculation (U.S. Dollars)**

<b>Salaries and Wages</b>	\$116,185
<b>Fringe Benefits</b>	\$93,013
<b>Personnel Costs (Subtotal)</b>	\$209,198
<b>Supplies</b>	\$5,700
<b>Consortium/Contractual Cost</b>	\$733,280
<b>Travel Costs</b>	\$18,500
<b>Other</b>	\$26,000
<b>Direct Cost</b>	\$992,678
<b>Indirect Cost</b>	\$7,322
<b>Approved Budget</b>	\$1,000,000
<b>Federal Share</b>	\$1,000,000
<b>Cumulative Prior Awards for this Budget Period</b>	\$0
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$1,000,000</b>

<b>SUMMARY TOTALS FOR ALL YEARS</b>	
<b>YR</b>	<b>AMOUNT</b>
3	\$1,000,000
4	\$1,000,000
5	\$1,000,000

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

**Fiscal Information:**

**CFDA Number:** 93.243  
**EIN:** 1876000545A8  
**Document Number:** 14SM61974A  
**Fiscal Year:** 2016

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SM	C96J075	\$1,000,000

<b>IC</b>	<b>CAN</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
<b>SM</b>	<b>C96C807</b>		<b>\$1,000,000</b>	<b>\$1,000,000</b>
<b>SM</b>	<b>C96J075</b>	<b>\$1,000,000</b>		

**SM Administrative Data:**

**PCC:** NITT-HT / OC: 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM061974-03**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning

fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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### **SECTION III – TERMS AND CONDITIONS – 5H79SM061974-03**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

#### **Treatment of Program Income:**

##### **Additional Costs**

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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### **SECTION IV – SM Special Terms and Conditions – 5H79SM061974-03**

#### **REMARKS:**

**All discretionary grant continuation applications must be submitted electronically through Grants.gov. If you are eligible for a continuation grant, an email of notification will be sent to your organization's business official as identified in the HHS Checklist, Part C.**

- 1. This award reflects approval of the budget submitted on 02/07/2016 as part of the continuation application.**
- 2. By October 30, 2016, the recipient must provide of copy of current Indirect Cost Rate Agreement to your Grants Management Specialist by email attachment only.**

#### **Updated Key Staff:**

Key staff (or key staff positions, if staff has not been selected) are listed below:

**David Moss**, Project Director @ 100% level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

**STANDARD TERMS OF AWARD:**

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>  
(Continuation or Cooperative Agreement)

**REPORTING REQUIREMENTS:**

Submission of a Programmatic annual Report is due no later than **90 days** from the end of the project/budget period dates.

**Please submit your Programmatic annual Report to**  
[DGMPProgressReports@samhsa.hhs.gov](mailto:DGMPProgressReports@samhsa.hhs.gov) **and copy your Program Official.**  
(HARD COPIES SUBMISSION IS NOT REQUIRED)

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

**All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.**

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

**CONTACTS:**

Diane L Sondheimer, Program Official

**Phone:** (240) 276-1980 **Email:** [diane.sondheimer@samhsa.hhs.gov](mailto:diane.sondheimer@samhsa.hhs.gov) **Fax:** (240) 276-1990

Benjamin Hunter, Grants Specialist

**Phone:** (240) 276-2257 **Email:** [Benjamin.Hunter@samhsa.hhs.gov](mailto:Benjamin.Hunter@samhsa.hhs.gov) **Fax:** (240) 276-1420



SPF-PFS  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Issue Date: 07/28/2016

Center for Substance Abuse Prevention

**Grant Number:** 5U79SP020152-04  
**FAIN:** SP020152  
**Program Director:** Craig L PoVey

**Project Title:** SPF-PFS: This grant is a cooperative agreement that focuses on addressing priorit

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES Program Administrator 195 North 1950 West Salt Lake City, UT 841163100	UTAH STATE DEPARTMENT OF HUMAN SERVICES Executive Director 195 North 1950 West Salt Lake City, UT 841163100

**Budget Period:** 09/30/2016 – 09/29/2017  
**Project Period:** 09/30/2013 – 09/29/2018

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$1,507,564 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 516 of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on “Grants” then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,  
Roger George  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 5U79SP020152-04**

**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$66,801
Fringe Benefits	\$34,693
Personnel Costs (Subtotal)	\$101,494
Supplies	\$3,400
Consortium/Contractual Cost	\$1,368,595
Travel Costs	\$9,786
Other	\$14,856
Direct Cost	\$1,498,131
Indirect Cost	\$9,433
Approved Budget	\$1,507,564
Federal Share	\$1,507,564
Cumulative Prior Awards for this Budget Period	\$0
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$1,507,564</b>

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
4	\$1,507,564
5	\$1,507,564

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

**Fiscal Information:**

CFDA Number: 93.243  
 EIN: 1876000545A8  
 Document Number: 13SP20152A  
 Fiscal Year: 2016

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SP	C96V012	\$1,507,564

IC	CAN	2016	2017
SP	C96P124		<b>\$1,507,564</b>
SP	C96V012	<b>\$1,507,564</b>	

**SP Administrative Data:**

PCC: PFS 2013 / OC: 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5U79SP020152-04**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-



800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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**SECTION III – TERMS AND CONDITIONS – 5U79SP020152-04**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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**SECTION IV – SP Special Terms and Conditions – 5U79SP020152-04****REMARKS:**

a) All discretionary grant continuation applications must be submitted electronically through Grants.gov. If you are eligible for a continuation grant, an email of notification will be sent to your organization's business official as identified in the HHS Checklist, Part C.

b) This award reflects approval of the revised budget submitted on June 02, 2016 as part of the continuation application.

**SPECIAL CONDITION OF AWARD:**

NONE

**STANDARD TERMS OF AWARD:**

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>  
**(Continuation)**

**Updated Key Staff:**

Key staff (or key staff positions, if staff has not been selected) are listed below:

**Craig L. PoVey**, Project Director @ 50% level of effort

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All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

**REPORTING REQUIREMENTS:**

A Federal Financial Report (SF-425) must be submitted annually to the Division of Grants Management which reflects both the federal, program income and match expenditures, if applicable.

**Please submit your Federal Financial Report to [CSAPFFR@samhsa.hhs.gov](mailto:CSAPFFR@samhsa.hhs.gov) and copy your Program Official. (HARD COPIES SUBMISSION IS NOT REQUIRED)**

Submission of a Programmatic Quarterly Report is due no later than the dates as follows:

- 1st Report – January 31, 2017
- 2nd Report – April 30, 2017
- 3rd Report – July 31, 2017
- 4th Report – October 31, 2017

**Please submit your Programmatic Quarterly Report to [DGMPProgressReports@samhsa.hhs.gov](mailto:DGMPProgressReports@samhsa.hhs.gov) and copy your Program Official. (HARD COPIES SUBMISSION IS NOT REQUIRED)**

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

**All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.**

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

CONTACTS:

Kemar Mapp, Program Official  
**Phone:** (240) 276-1241 **Email:** [Kemar.Mapp@samhsa.hhs.gov](mailto:Kemar.Mapp@samhsa.hhs.gov)

Andrew Payne, Grants Specialist  
**Phone:** (240) 276-1238 **Email:** [Andrew.Payne@samhsa.hhs.gov](mailto:Andrew.Payne@samhsa.hhs.gov) **Fax:** (240) 276-1430



**Grant Number:** 5H79SM061660-03  
**FAIN:** SM061660  
**Program Director:** Pamela Bennett

**Project Title:** Utah Supported Employment Transformation Project (U-SETP)

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES Doug Thomas Executive Director  195 North 1950 West Salt Lake City, UT 841163100	Ann Williamson Executive Director Utah Department of Human Services 195 North 1950 West Salt Lake City, UT 841163100

**Budget Period:** 09/30/2016 – 09/29/2017  
**Project Period:** 09/30/2014 – 09/29/2019

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$800,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of 520A of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,  
Gwendolyn Simpson  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 5H79SM061660-03**

**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$83,971
Fringe Benefits	\$35,865
Personnel Costs (Subtotal)	\$119,836
Supplies	\$5,744
Consortium/Contractual Cost	\$640,000
Travel Costs	\$12,324
Other	\$16,104
Direct Cost	\$794,008
Indirect Cost	\$5,992
Approved Budget	\$800,000
Federal Share	\$800,000
Cumulative Prior Awards for this Budget Period	\$0
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$800,000</b>

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
3	\$800,000
4	\$800,000
5	\$800,000

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

**Fiscal Information:**

CFDA Number: 93.243  
 EIN: 1876000545A8  
 Document Number: 14SM61660A  
 Fiscal Year: 2016

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SM	C96J175	\$373,960
SM	C96J418	\$426,040

IC	CAN	2016	2017	2018
SM	C96C514		<b>\$800,000</b>	<b>\$800,000</b>
SM	C96J175	<b>\$373,960</b>		
SM	C96J418	<b>\$426,040</b>		

**SM Administrative Data:**

PCC: SEP / OC: 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM061660-03**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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### **SECTION III – TERMS AND CONDITIONS – 5H79SM061660-03**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

#### **Treatment of Program Income:**

##### **Additional Costs**

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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### **SECTION IV – SM Special Terms and Conditions – 5H79SM061660-03**

#### **REMARKS:**

*\*All discretionary grant continuation applications must be submitted electronically through Grants.gov. If you are eligible for a continuation grant, an email of notification will be sent to your organization's Business Official as identified in the HHS Checklist, Part "C."*

**This Award reflects acceptance of the Attestation Letter signed and dated on January 25, 2016 by the Authorized Representative that there are no budget changes above 25% of the total previous budget period in response to the continuation application request.**

#### **STANDARD TERMS OF AWARD:**

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>  
**(Continuation)**

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Key Staff positions are listed below:

**Pamela Bennett**, Project Director @ 25% Level of Effort

\*\*All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

**REPORTING REQUIREMENTS:**

Submission of a Programmatic Annual Report is due no later than October 30, 2017.

**Please submit your Programmatic (annual) Report to [DGMPProgressReports@samhsa.hhs.gov](mailto:DGMPProgressReports@samhsa.hhs.gov) and copy your Program Official. (HARD COPIES SUBMISSION IS NOT REQUIRED)**

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

**All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.**

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

**CONTACTS:**

William Hudock, Program Official  
**Phone:** (240) 276-1954 **Email:** William.Hudock@samhsa.hhs.gov

Ernest Stevens, Grants Specialist  
**Phone:** (240) 276-0631 **Email:** Ernest.Stevens@samhsa.hhs.gov **Fax:** (240) 276-1430



State Youth Treatment-Planning  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Issue Date: 08/03/2016

Center for Substance Abuse Treatment

**Grant Number:** 5H79TI026034-02

**FAIN:** TI026034

**Program Director:** Becky King

**Project Title:** UT State Youth Treatment Planning Project (SYT-P)

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES Executive Director 195 North 1950 West Salt Lake City, UT 841163097	UT Department of Human Services Executive Director 195 North 1950 West Salt Lake City, UT 84116

**Budget Period:** 09/30/2016 – 09/29/2017

**Project Period:** 09/30/2015 – 09/29/2017

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$250,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 509 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,  
Roger George  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 5H79TI026034-02**

**Award Calculation (U.S. Dollars)**

<b>Salaries and Wages</b>	\$94,439
<b>Fringe Benefits</b>	\$51,474
<b>Personnel Costs (Subtotal)</b>	\$145,913
<b>Supplies</b>	\$4,393
<b>Travel Costs</b>	\$10,510
<b>Other</b>	\$81,888
<b>Direct Cost</b>	\$242,704
<b>Indirect Cost</b>	\$7,296
<b>Approved Budget</b>	\$250,000
<b>Federal Share</b>	\$250,000
<b>Cumulative Prior Awards for this Budget Period</b>	\$0
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$250,000</b>

<b>SUMMARY TOTALS FOR ALL YEARS</b>	
<b>YR</b>	<b>AMOUNT</b>
2	\$250,000

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

**Fiscal Information:**

**CFDA Number:** 93.243  
**EIN:** 1876000545A8  
**Document Number:** 15TI26034A  
**Fiscal Year:** 2016

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
TI	C96N525	\$250,000

<b>IC</b>	<b>CAN</b>	<b>2016</b>
<b>TI</b>	<b>C96N525</b>	<b>\$250,000</b>

**TI Administrative Data:**

**PCC:** SYT-P / **OC:** 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79TI026034-02**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.



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**SECTION III – TERMS AND CONDITIONS – 5H79TI026034-02**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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**SECTION IV – TI Special Terms and Conditions – 5H79TI026034-02****REMARKS:**

This award reflects acceptance of the attestation signed and dated on March 23, 2016 by the authorized representative that there are no budget changes above 25% of the total previous budget period in response to the continuation application request.

**SPECIAL CONDITION OF AWARD:**

NONE

**STANDARD TERMS OF AWARD:**

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>  
**(Cooperative Agreement)**

**Updated Key Staff:**

Key staffs are listed below:

Becky King, Project Director at 50% level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a

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biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

**REPORTING REQUIREMENTS:**

Submission of a Programmatic semi-annual Report is due no later than the dates as follows:

1st Report - April 30, 2017

2nd Report – October 30, 2017

**Please submit your Programmatic semi-annual Report to DGMPProgressReports@samhsa.hhs.gov and copy your Program Official.**

(HARD COPIES SUBMISSION IS NOT REQUIRED)

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

**All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.**

**All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.**

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

CONTACTS:

Melissa Rael, Program Official

**Phone:** (240) 276-2903 **Email:** melissa.rael@samhsa.hhs.gov **Fax:** (240) 276-2900

Elizabeth Carlini, Grants Specialist

**Phone:** (240) 276-0582 **Email:** elizabeth.carlini@samhsa.hhs.gov **Fax:** (240) 276-1430



SPF Rx  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Issue Date: 09/01/2016

Center for Substance Abuse Prevention

**Grant Number:** 1U79SP022095-01  
**FAIN:** SP022095  
**Program Director:** Craig L PoVey

**Project Title:** Utah's Strategic Prevention Framework for Prescription Drugs: SPF Rx

Grantee Address	Business Address
UTAH STATE DEPARTMENT OF HUMAN SERVICES Department of Human Services 195 North 1950 West Salt Lake City, UT 841163100	Administrative Services Director Dept. of Human Services, Div. SA & MH 195 North 1950 West Salt Lake City, UT 841163100

**Budget Period:** 09/01/2016 – 08/31/2017  
**Project Period:** 09/01/2016 – 08/31/2021

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$371,616 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 516 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,  
Eileen Bermudez  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 1U79SP022095-01**

**Award Calculation (U.S. Dollars)**

<b>Supplies</b>	\$3,980
<b>Consortium/Contractual Cost</b>	\$340,076
<b>Travel Costs</b>	\$6,192
<b>Other</b>	\$17,168
<b>Direct Cost</b>	\$367,416
<b>Indirect Cost</b>	\$4,200
<b>Approved Budget</b>	\$371,616
<b>Federal Share</b>	\$371,616
<b>Cumulative Prior Awards for this Budget Period</b>	\$0
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$371,616</b>

<b>SUMMARY TOTALS FOR ALL YEARS</b>	
<b>YR</b>	<b>AMOUNT</b>
1	\$371,616
2	\$371,616
3	\$371,616
4	\$371,616
5	\$371,616

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

**Fiscal Information:**

**CFDA Number:** 93.243  
**EIN:** 1876000545A8  
**Document Number:** 16SP22095A  
**Fiscal Year:** 2016

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SP	C96V027	\$371,616

<b>IC</b>	<b>CAN</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>
<b>SP</b>	<b>C96V027</b>	<b>\$371,616</b>	<b>\$371,616</b>	<b>\$371,616</b>	<b>\$371,616</b>	<b>\$371,616</b>

**SP Administrative Data:**

**PCC:** SPF RX / **OC:** 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1U79SP022095-01**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20503  
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**SECTION III – TERMS AND CONDITIONS – 1U79SP022095-01**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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**SECTION IV – SP Special Terms and Conditions – 1U79SP022095-01****REMARKS:**

As a reminder all SAMHSA official notifications will be electronically mailed to your organization's Business Official address as identified in the HHS Checklist, Part C.

This award reflects approval of the revised budget submitted on July 19, 2016 by your authorized representative in response to the application request.

**SPECIAL TERM(s) OF AWARD:****DOMA:**

On June 26, 2013, in *United States v. Windsor*, the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex spouses/marriages, was unconstitutional. As a result of that decision, SAMHSA is no longer prohibited from recognizing same sex marriages. Consistent with HHS policy and the purposes of SAMHSA programs, same-sex spouses/marriages are to be recognized in SPF-RX. This means that, as a recipient of SAMHSA funding SPF-RX, you are required to treat as valid the marriages of same-sex couples whose marriage was legal when entered into. This applies regardless of whether the couple now lives in a jurisdiction that recognizes same-sex marriage or a jurisdiction that does not recognize same-sex marriage. Any same-sex marriage legally entered into in one of the 50 states, the District of Columbia, a U.S. territory or a foreign country will be recognized. However, this does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage.

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**EPLS:**

SAMHSA's OFAS is conducting a review of one or more of the key staff (**authorized representative**) listed in your organization's Application for Federal Assistance (SF424) because they had the same or a similar name to an individual in the System of Award Management Exclusions List. If OFAS's review determines that the individual(s) in question is(are) the same person(s), enforcement action will be taken, which may include terminating the grant or requiring the person be removed from working on the grant or at your organization in accordance with 2 CFR Part 180. Please note that by selecting "I agree" in § 21 of the SF424, the authorized representative certified that, to the best of his or her knowledge and belief, that the applicant and its principals were not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.

**DISPARITY IMPACT STATEMENT (DIS):****By November 30, 2016 you must:**

Submit an electronic copy of a disparity impact statement to the Government Project Officer (GPO) and Grants Management Specialist (GMS) as identified under Contacts on this notice of award. The disparity impact statement should be consistent with information in your application regarding access, \*service use and outcomes for the program and include three components as described below. Questions about the disparity impact statement should be directed to your GPO. Examples of disparity impact statements can be found on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/disparity-impact-statement>.

\*Service use is inclusive of treatment services, prevention services as well as outreach, engagement, training and/or technical assistance activities.

The disparity impact statement, in response to the Special Condition of Award, consists of three components:

1. Proposed number of individuals to be reached by subpopulations in the grant implementation area should be provided in a table that covers the entire grant period. The disparate population(s) should be identified in a narrative that includes a description of the population and rationale for how the determination was made.
2. A quality improvement plan for how you will use your program (GPRA) data on access, use and outcomes to monitor and manage program outcomes by race, ethnicity and LGBT status, when possible. The quality improvement plan should include strategies for how processes and/or programmatic adjustments will support efforts to reduce disparities for the identified sub-populations.
3. The quality improvement plan should include methods for the development and implementation of policies and procedures to ensure adherence to the Enhanced Culturally and Linguistically Appropriate Services (CLAS) Standards and the provision of effective care and services that are responsive to:
  - a. Diverse cultural health beliefs and practices;
  - b. Preferred languages; and
  - c. Health literacy and other communication needs of all sub-populations within the proposed geographic region.

**PROGRAMMATIC CONDITIONS OF AWARD:****Year 1**

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## Strategic Plan

Grantees may take up to one year to strategically plan for a data driven approach to effectively utilize PDMP data and design a plan to evaluate prescription drug efforts.

- Strategic Plans will be due by March 1, 2017.
- Strategic Plans may be up to 25 pages.

SAMHSA/CSAP will provide grantees a strategic plan checklist containing criteria to be used during the development of their strategic plans.

## Funding Caps

- There is no administrative cap on funding during year 1.
- No more than 20% of the total grant award may be used for data collection, performance measurement, and performance assessment.

State and Tribal

$\$371,616 \times (20\%) = 74,323$  (or less may be used for data collection , etc.)

## Years 2 through 4

### Public Education Plan

Development of a community-based public education plan to increase awareness of prescription drug misuse issues, the need for a coordinated approach, and to promote increased use of PDMP data.

- Public Education Plans will be due by October 1, 2017.
- Public Education Plans may be up to 5 pages .

SAMHSA/CSAP will provide grantees with a public education plan checklist containing criteria to be used during the development of their outreach plans.

### Evaluation Plan

Development of a local evaluation plan and implement evaluation activities based on year one and year two assessment and planning activities.

- Evaluation plan will be due by **December 31, 2017**.  
SAMHSA/CSAP will provide grantees with an evaluation plan checklist containing criteria to be used during the development of their evaluation plans .

### Funding Caps

1. State Grantees may use up to 15% of the total award for state-level administrative costs (direct and indirect) and state-level performance activities, including building capacity or providing training and technical assistance (TA) at the state level to fill gaps in their current prevention infrastructure and systems.

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$\$371,616 \times (15\%) = \$55,742$  (or less may be used for administrative purposes)

2. Tribal Grantees may use up to 30% of the total award for tribal-level administrative costs (direct and indirect) and tribal-level performance activities, including building capacity or providing training and TA at the tribal level to fill gaps in their current prevention infrastructure and systems.

$\$371,616 \times (30\%) = \$111,484$  (or less may be used for administrative purposes)

3. No more than 20% of the total grant award may be used for data collection, performance measurement, and performance assessment.

State and Tribal

$\$371,616 \times (20\%) = 74,323$  (or less may be used for data collection, etc.)

**Year 5**

Development of an evaluation report on the SPF Rx program's activities, goals, and objectives.

- **Evaluation report will be due 90 days after the grant end date.**

Funding Caps

*Year 5 funding caps are consistent with Years 2 through 4.*

**General**

All SAMHSA grantees are required to participate in the SPF Rx cross site evaluation. This includes using the cross site evaluation common measures and instruments in the collection and reporting of certain data so that SAMHSA can monitor performance, evaluate its programs and meet its obligations under the Government Performance and Reporting Modernization Act of 2010 (GPRAMA).

The collection of these data will enable CSAP to report on the National Outcome Measures (NOMs) and other priority indicators, and help identify best practices in terms of improved outcomes and cost, which SAMHSA/CSAP has defined as key priority areas relating to the prevention of substance use.

**Failure to comply with the above stated Special Condition may result in your grant being placed on high risk, suspension and/or termination or denial of funding in the future.**

**SPECIAL CONDITION OF AWARD:**

**MARGINAL OR INADEQUATE:**

**By October 1, 2016, you must:**



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Section D (Marginal): Data Collection and Performance Measurement-The applicant organization does not adequately address its ability to report on the collected data. Although it clearly describes its plan for data collection, management and analysis, it does not sufficiently detail its plan for reporting data. For example, it states that data from the POMP will be collected annually which may not allow for adequate program planning, implementation, and ongoing reassessments. Although the applicant organization describes its plan for the local performance assessment, it does not adequately address its ability to conduct the assessment. Additionally, the applicant organization does not detail how necessary adjustments will be made to implementation activities. It does not discuss the relationship of the population of focus to the general population. Lastly, the applicant organization does not explicitly state if there are any sub-population disparities, only that if any are identified they will be addressed.

By October 1, 2016, grantee must address the following:

1. Provide a detailed response to address the deficiencies outlined above in reference to your proposed approach and statement of need.

Grantee must work collaboratively with its Government Project Officer to obtain specific guidance needed to best develop the content and approach for the items listed in this section.

**REVISED BUDGET:**

**By October 31, 2016, you must:**

Provide a detailed breakdown of 'Contractual' costs in the amount of \$340,076 that includes how costs were determined.

**STANDARD TERMS OF AWARD:**

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions> (**Cooperative Agreement**)

Key staff (or key staff positions, if staff has not been selected) are listed below:

**Craig L PoVey**, Project Director @ 25% level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

**REPORTING REQUIREMENTS:**

Submission of a Programmatic (quarterly) Report is due no later than the dates as follows:

- 1st Report - January 1, 2017
- 2nd Report - April 1, 2017
- 3rd Report - July 1, 2017
- 4th Report - October 1, 2017

**Please submit your programmatic (Quarterly) Report to [DGMProgressReports@samhsa.hhs.gov](mailto:DGMProgressReports@samhsa.hhs.gov) and copy your Program Official.**

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(HARD COPIES SUBMISSION IS NOT REQUIRED)

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

CONTACTS:

Damaris Richardson, Program Official

**Phone:** (240) 276-2437 **Email:** damaris.richardson@samhsa.hhs.gov

Tomara Baker, Grants Specialist

**Phone:** (240) 276-1407 **Email:** Tomara.Baker@samhsa.hhs.gov



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C St., S.W., Washington DC 20201

July 01, 2016

Executive Director  
Department of Human Services  
195 North 1950 West  
Salt Lake City, UT 84116

Re: Notice of Grant Award - FY 2016

Dear Grantee:

The grant award listed below is hereby awarded under the Promoting Safe and Stable Families program, Title IV-B, Subpart 2 of the Social Security Act. This award is available for obligation beginning 10/01/2015 and ending 09/30/2017. The grantee must liquidate all obligations incurred under this award no later than 90 days after the end of the funding period.

Appropriation	CAN	Allotment	This Action	Cumulative
75-6-1512	2016G996439	1,508,179	447,697	1,508,179
75-6-1512	2016G996470	336,457	91,275	336,457
<b>Total</b>		<b>1,844,636</b>	<b>538,972</b>	<b>1,844,636</b>

<b>EIN:</b>	1-876000545-A8	<b>Fiscal Year:</b>	2016
<b>Document Number:</b>	G-1601UTFPSS	<b>CFDA #:</b>	93.556

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Deborah Bell, Administration for Children and Families, (202) 401-4611. The electronic Terms and Conditions to support this program can be found on the website at <https://www.acf.hhs.gov/grants/terms-and-conditions>.

Please transmit a copy of this letter to the office authorized to request funds covered by this award notice.

Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants

RECEIVED

JUL 11 2016

OFFICE OF EXECUTIVE DIRECTOR  
DEPT. OF HUMAN SERVICES



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C St., S.W., Washington DC 20201

**RECEIVED**

July 01, 2016

JUL 11 2016

Executive Director  
Department of Human Services  
195 North 1950 West  
Salt Lake City, UT 84116

**OFFICE OF EXECUTIVE DIRECTOR  
DEPT. OF HUMAN SERVICES**

Re: Notice of Grant Award - FY 2016

Dear Grantee:

The grant award listed below is available for obligation beginning 10/01/2015 and ending 09/30/2017 in accordance with your approved application under the Educational and Training Vouchers (ETV) Program under Title IV-E of the Social Security Act, (42 U.S.C. 677 et. seq.). The grantee must liquidate all obligations incurred under this award no later than 90 days after the end of the funding period.

<b>Appropriation</b> 75-6-1536	<b>CAN</b> 2016G992601	<b>Allotment</b> 303,809	<b>This Action</b> 75,952	<b>Cumulative</b> 303,809
<b>EIN:</b>	1-876000545-A8	<b>Fiscal Year:</b>	2016	
<b>Document Number:</b>	G-1601UTCETV	<b>CFDA #:</b>	93.599	

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Deborah Bell, Administration for Children and Families, (202) 401-4611. The electronic Terms and Conditions to support this program can be found on the website at <https://www.acf.hhs.gov/grants/terms-and-conditions>.

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**  
Office of Grants Management 370 L'Enfant Promenade, S.W. Washington, DC 20447

June 8, 2016

Executive Director  
Utah Department of Human Services  
Utah Department of Human Services  
Division of Child and Family Services  
195 N 1950 W  
Salt Lake City, UT 84116-3100

**Re: Notice of Grant Award  
Adoption and Legal Guardianship Incentive Payments Program  
FY 2015**

Dear Grantee:

The following award is for the program year indicated for the Program in accordance with Sec 473A of the Social Security Act. These funds are to be expended for costs under part B (including post-adoption services) and part E of title IV of the Act.

<b>Award Amount:</b>	<b>\$751,111.00</b>
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Catalog of Federal Domestic Assistance (CFDA) Program Number	Entity Identification Number (EIN)	Appropriation Number	Grant Document Number (GDN)	Common Accounting Number (CAN)
93.603	1876000545A8	75-1617-1536	1501UTAIPP	2016G99A116

These funds must be obligated **no later than 09/30/2018** (See Sec 473A(e) of the Act) and liquidated **no later than 12/31/2018** (See 45 CFR 92.23(b)). The final financial report for this award must be submitted no later than the liquidation deadline stated above.

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Grant funds are made available through the HHS Payment Management System (PMS). Questions concerning payments should be directed to: Division of Payment Management, PO Box 6021, Rockville, Maryland 20852 (Internet web site: <http://www.dpm.psc.gov>), to the PMS Help Desk at (877) 614-5533. Other questions concerning this award should be directed to the Regional Grants Officer, Administration for Children and Families.

Please transmit a copy of this letter to the office authorized to request funds covered by this award notice.

Sincerely,

Patrick A Wells  
Director  
Division of Mandatory Grants

**NOTE:** This action provides the balance of the FY 2015 Adoption and Legal Guardianship Incentive Payment awards for earning year FY 2014. Following the issuance of the initial portion of the awards in September 2015, ACF discovered calculation errors that affect the total amount earned for about half of the states, either by increasing or decreasing the total incentive payments earned. The attached table provides State-by-State details of these changes. We apologize for any inconvenience.



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 370 L'Enfant Promenade, S.W. Washington, DC 20447

September 18, 2015

Executive Director  
Utah Department of Human Services  
Utah Department of Human Services  
Division of Child and Family Services  
195 N 1950 W  
Salt Lake City, UT 84116-3100

**Re: Notice of Grant Award  
Adoption and Legal Guardianship Incentive Payments Program  
FY 2015**

Dear Grantee:

The following award is for the program year indicated for the Program in accordance with Sec 473A of the Social Security Act. These funds are to be expended for costs under part B (including post-adoption services) and part E of title IV of the Act.

<b>Award Amount:</b>	<b>\$475,889</b>
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Catalog of Federal Domestic Assistance (CFDA) Program Number	Entity Identification Number (EIN)	Appropriation Number	Grant Document Number (GDN)	Common Accounting Number (CAN)
93.603	1876000545A8	75-1516-1536	1501UTAIPP	2015G99AI15

These funds must be obligated **no later than 09/30/2018** (See Sec 473A(e) of the Act) and liquidated **no later than 12/31/2018** (See 45 CFR 92.23(b)). The final financial report for this award must be submitted no later than the liquidation deadline stated above.

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Grant funds are made available through the HHS Payment Management System (PMS). Questions concerning payments should be directed to: Division of Payment Management, PO Box 6021, Rockville, Maryland 20852 (Internet web site: <http://www.dpm.psc.gov>), to the PMS Help Desk at (877) 614-5533. Other questions concerning this award should be directed to the Regional Grants Officer, Administration for Children and Families.

Please transmit a copy of this letter to the office authorized to request funds covered by this award notice.

Sincerely,

Patrick A Wells  
Director  
Division of Mandatory Grants

NOTE: Due to insufficient availability of funds, and in accordance with the provisions of Sec. 473A(d)(2) of the Social Security Act, this award contains a prorated portion (approximately 38.5 percent) of the FY2015 Adoption and Legal Guardianship Incentive Payment to which the State is entitled. As soon as additional funds become available, the balance of the State's payment will be awarded.

1. DATE ISSUED MM/DD/YYYY 08/31/2016  
 2. CFDA NO. 93.631  
 3. ASSISTANCE TYPE Project Grant

Department of Health and Human Services  
 Administration For Community Living  
 AOD Projects of National Significance Partnerships in Employment  
 Systems Change  
 Switzer Building 330 C Street, SW  
 Washington, DC 20201-0003

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 90DNEM0002-01-00  
 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/01/2016 Through 08/31/2021

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/01/2016 Through 08/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 42 USC 15081-15083

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah School to Work Inter-agency Transition Initiative

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Human Services  
 195 N 1950 W Ste A  
 Salt Lake City, UT 84116-3122

9b. GRANTEE PROJECT DIRECTOR  
 Tricia L Jones-Parkin  
 195 North 1950 West  
 DSPD  
 Salt Lake City, UT 84116-3097  
 Phone: 801-538-4498

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Ann Williamson  
 195 NORTH 1950 WEST  
 SALT LAKE CITY, UT 84116-3097  
 Phone: 801-538-4001

10b. FEDERAL PROJECT OFFICER  
 Larissa Crossen  
 Switzer Building  
 330 C Street, SW  
 Washington, DC 20201-0003  
 Phone: 202-690-5999

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <span style="float: right;">II</span>	
a. Salaries and Wages .....	56,160.00
b. Fringe Benefits .....	21,902.00
c. Total Personnel Costs .....	78,062.00
d. Equipment .....	5,200.00
e. Supplies .....	1,511.00
f. Travel .....	11,440.00
g. Construction .....	0.00
h. Other .....	6,700.00
i. Contractual .....	144,355.00
j. TOTAL DIRECT COSTS →	247,268.00
k. INDIRECT COSTS	2,732.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>250,000.00</b>
m. Federal Share	250,000.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	250,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>250,000.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>250,000.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

This action is issued as a new award for the period identified in box 7., and federal amount on line 12d.

GRANTS MANAGEMENT OFFICIAL: **Karmen Bisher**

17. OBJ CLASS 41.45	18a. VENDOR CODE 1876000545A8	18b. EIN 876000545	19. DUNS 878593383	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-2994937	b. 90DNEM000201	c. Aod	d. \$250,000.00	e. 75-16-0142
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

PAGE 2 of 4	DATE ISSUED 08/31/2016
GRANT NO. 90DNEM0002-01-00	

## STANDARD TERMS

1. This award is paid by DHHS Payment Management System (PMS). Please go to <http://www.dpm.psc.gov/> for payment and reporting information.

This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to [http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/Victims.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/Victims.aspx).

Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 75, directly apply to this award apart from any coverage in the HHS GPS. Also, the general provisions from "The Consolidated Appropriations Act, 2016," Pub. L. No 114-113, signed into law on Dec. 18, 2015, apply to this award and can be found on the ACL website: [http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/Terms.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/Terms.aspx)

Initial expenditure of funds by the grantee constitutes acceptance of this award. Any future support is subject to the availability of funds and programmatic priorities.

Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award. The effective date is for all grants and contracts issued on or after July 1, 2013, through January 1, 2017.

### **Salary Limitation:**

The General Provisions in Division H, § 202, of the Consolidated Appropriations Act, 2016 (P.L. 114-113), includes provisions for a salary rate limitation. The law limits the salary amount that may be awarded and charged to ACL grants and cooperative agreements. Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary of the Federal Executive Pay scale is \$185,100. This amount reflects an individual's base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to subawards/subcontracts under an ACL grant or cooperative agreement. Note that these or other salary limitations will apply in FY 2017, as required by law.

### **DOMA: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages:**

*References: United States v. Windsor, 133 S.Ct. 2675 (June 26, 2013); § 3 of the Defense of Marriage Act, codified at 1 USC § 7.*

A standard term and condition of award will be included in the final Notice of Award (NoA) that states: "In any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, grantees must treat same-sex spouses, marriages, and households on the same terms as opposite-sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S.



NOTICE OF AWARD (Continuation Sheet)

PAGE 3 of 4	DATE ISSUED 08/31/2016
GRANT NO. 90DNEM0002-01-00	

territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage."

**Federal Awardee Performance and Integrity Information System (FAPIS):**

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

Program Progress Reports are due semi-annually (within 30 days following each six month period), effective with the start date of the award. This report must be submitted as a "note" using an authorized GrantSolutions account.

Grantees are required to submit semi-annual financial status reports (SF 425), which are due 30 days following each six month reporting period. You must reconcile your cash accounts with your expenditures for the reporting period and submit a cumulative report each year. A final report is due 90 days after the expiration date of the project period and must reconcile with the final cash portion reported on line 10c.

Financial Reporting - All grantees must use the Federal Financial Report (SF-425) form at:[http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/Reporting.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/Reporting.aspx). The SF-425 form is downloadable as a PDF or can be copied to Excel. Complete all lines as appropriate.

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System located at <http://www.FSRS.gov> for all sub-awards and sub-contracts issued for \$25,000 or more as well as addressing executive compensation for both grantee and sub-award organizations. Additional guidance is located at: [http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/FFATA.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/FFATA.aspx)

ACL discretionary grantees are required to use GrantSolutions (GS) for their end to end grants management services (tracking and receiving various award actions, submitting financial and progress reports, general correspondence, requests etc.). The grantee authorizing official identified in box 10a., and grantee project director identified in box 9b., must ensure they are registered with GS and have the appropriate role assigned to them by their organization. Please follow the GS grantee account registration information located at the following URL:<https://www.grantsolutions.gov/support/registration.html>. If you are unable to register or have questions associated with registration, contact your Grants Management Specialist (GMS).

**STAFF CONTACTS**

1. If you need additional information, please consult the ACL website at [http://acl.gov/Funding\\_Opportunities/Grantee\\_Info/Index.aspx](http://acl.gov/Funding_Opportunities/Grantee_Info/Index.aspx) . In addition, your assigned Grants

NOTICE OF AWARD (Continuation Sheet)

PAGE 4 of 4	DATE ISSUED 08/31/2016
GRANT NO. 90DNEM0002-01-00	

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Management Specialist and ACL Project Officer are always available to answer questions. For inquiries related to the negotiation of this award or interpreting the fiscal or administrative requirements, policies, or provisions your contact is Grants Management Specialist, **LaDeva Harris** at **[LaDeva.Harris@acl.hhs.gov](mailto:LaDeva.Harris@acl.hhs.gov)** or **(202) 795-7360**. If you have questions related to program requirements, contact the Program Officer listed in section 10b of the Notice of Award.



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C St., S.W., Washington DC 20201

**RECEIVED**

July 01, 2016

JUL 11 2016

Executive Director  
Department of Human Services  
195 North 1950 West  
Salt Lake City, UT 84116

**OFFICE OF EXECUTIVE DIRECTOR  
DEPT. OF HUMAN SERVICES**

Re: Notice of Grant Award - FY 2016

Dear Grantee:

The grant award listed below is available for obligation beginning 10/01/2015 and ending 09/30/2017 in accordance with your approved application under the Child Welfare Social Service program of Title IV-B, Subpart 1, of the Social Security Act. The grantee must liquidate all obligations incurred under this award and file the final financial report claiming these expenditures no later than 90 days after the end of the funding period.

Appropriation	CAN	Allotment	This Action	Cumulative
75-6-1536	2016G998000	3,696,242	924,060	3,696,242
<b>EIN:</b>	1-876000545-A8	<b>Fiscal Year:</b>	2016	
<b>Document Number:</b>	G-1601UTCWSS	<b>CFDA #:</b>	93.645	

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Deborah Bell, Administration for Children and Families, (202) 401-4611. The electronic Terms and Conditions to support this program can be found on the website at <https://www.acf.hhs.gov/grants/terms-and-conditions>.

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**  
Office of Grants Management 330 C Street, S.W. Washington, DC 20201

July 01, 2016

**RECEIVED**

JUL 11 2016

Executive Director  
Utah Department of Human Services  
Division of Child and Family Services  
195 North 1950 West  
Salt Lake City, UT 84116

OFFICE OF EXECUTIVE DIRECTOR  
DEPT. OF HUMAN SERVICES

Re: Notice of Grant Award  
Foster Care Program  
FY 2016

Dear Grantee:

The following amount is being awarded for the Federal share of expenditures for the fiscal quarter indicated for the Foster Care Program under Title IV-E of the Social Security Act. The enclosed "Computation of Grant Award" explains the calculation of the award amount.

<b>Award Amount:</b>	<b>\$5,613,368</b>
Fiscal Quarter:	07/01/2016 - 09/30/2016


Catalog of Federal Domestic Assistance (CFDA) Program Number:	93.658
Entity Identification Number (EIN):	1-876000545-A8

By accepting this award, you agree to use these funds in accordance with the provisions of the approved plan for this program, to abide by all applicable Federal laws, regulations and policies, financial reporting requirements, and other terms and conditions governing this program and the use of Federal funds. You also agree to diligently meet the requirement to properly identify, monitor and treat sub recipients of Federal funds as described in the program terms and conditions. Any expenditure made in violation of Federal requirements is subject to disallowance by this agency, including the imposition of interest charges under 45 CFR 30.13 and 30.14.

A copy of the General Terms and Conditions governing mandatory grant programs and additional program-specific requirements for this program are available at <https://www.acf.hhs.gov/grants/terms-and-conditions>.

In addition, you agree to comply with the provisions of the Cash Management Improvement Act (31 CFR Part 205) that limit the amount and timing of requests to draw Federal funds to only the amount necessary to meet actual and immediate program needs. Funds included in this award may not be drawn down prior to the first day of the fiscal quarter indicated above; withdrawals may not exceed the total amount authorized in this and previous awards and unused award authority may be carried forward and used in subsequent quarters. Failure to adhere to funds withdrawal and reporting requirements may result in the unobligated portion of your letter-of-credit being revoked.

Grant funds are made available through the HHS Payment Management System (PMS). Questions concerning payments should be directed to: Division of Payment Management, PO Box 6021, Rockville, Maryland 20852 (<http://www.dpm.psc.gov>) or to the PMS Help Desk at (877) 614-5533. Other questions should be directed to the Regional Grants Officer, Administration for Children and Families.

Sincerely,  
  
Patrick A. Wells  
Director  
Division of Mandatory Grants

Enclosure

## Computation of Grant Award

Foster Care  
 Utah

Federal Share of Expenditures

	Payments	Administration	SACWIS	Training	Demonstration	TOTAL
1. Allowable Grantee Claims						
Quarter Ended 03-31-2016						
a. Current Quarter Claims	0	0	343,876	609,623	5,510,095	6,463,594
b. Prior Quarter Adjustments	0	(146,255)	0	0	40,585	(105,670)
c. Reinstatements						
d. Deferrals And Disallowances						
e. Fees And Collections						
f. Previously Awarded Expenditure	191,395					191,395

g. Net Claim ((1a+1b+1c) - (1d+1e+1f))	(191,395)	(146,255)	343,876	609,623	5,550,680	6,166,529
2. Funds Advanced to Grantee for						
Quarter Ended 03-31-2016	(107,181)		347,251	715,215	5,902,460	6,857,745

3. Other Adjustments						
4. Expenditure Awarded This Action ((1g-2)+3)	(84,214)	(146,255)	(3,375)	(105,592)	(351,780)	(691,216)

Federal Share of Estimates						
5. Funds being Advanced to Grantee for						
Quarter Beginning 07-01-2016						
a. Next Quarter Estimate	0	0	360,726	242,171	5,902,460	6,505,357
b. Collections	200,773					200,773
c. Previously Awarded Estimate						

6. Estimate Awarded this Action ((5a-5b)-5c)	(200,773)	0	360,726	242,171	5,902,460	6,304,584
7. Total Certified for Grant Award (4+6)	(\$284,987)	(\$146,255)	\$357,351	\$136,579	\$5,550,680	\$5,613,368

Accounting Data			
<u>Appropriation</u>	CAN	<u>Grant Document</u>	Amount
75-6-1545	2016 G994107	1601UTFOST	\$5,613,368

Remarks



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C Street, S.W. Washington, DC 20201

May 18, 2016

UT Department of Human Services  
Division of Child & Family Services  
195 North 1950 West, Room 319  
Salt Lake City, UT 84116

Dear Grantee:

The Family Violence Prevention & Services State Grants grant award is available for expenditures made in accordance with your approved application under the Family Violence Prevention and Services Act (42 USC 10401) for the period beginning 10/01/2015 and ending 09/30/2017.

<b>Appropriation</b>	<b>CAN</b>	<b>Allotment</b>	<b>This Action</b>	<b>Cumulative</b>
75-6-1536	2016G991538	1,169,389	1,169,389	1,169,389
<b>EIN:</b>	1-876000545-A8	<b>Fiscal Year:</b> 2016		
<b>Document Number:</b> G-1601UTFVPS		<b>CFDA #:</b> 93.671		

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Manolo Salgueiro, Administration for Children and Families, (202) 690-5811.

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C Street, S.W. Washington, DC 20201

May 25, 2016  
UT Department of Human Services  
Division of Child & Family Services  
195 North 1950 West, Room 319  
Salt Lake City, UT 84116

Dear Grantee:

The Family Violence Prevention & Services State Grants grant award is available for expenditures made in accordance with your approved application under the Family Violence Prevention and Services Act (42 USC 10401) for the period beginning 10/01/2015 and ending 09/30/2017.

<b>Appropriation</b>	<b>CAN</b>	<b>Allotment</b>	<b>This Action</b>	<b>Cumulative</b>
75-6-1536	2016G991538	1,232,534	63,145	1,232,534
<b>EIN:</b>	1-876000545-A8	<b>Fiscal Year:</b> 2016		
<b>Document Number:</b>	G-1601UTFVPS	<b>CFDA #:</b> 93.671		

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Manolo Salgueiro, Administration for Children and Families, (202) 690-5811.

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants

NOTE: Additional funding due to increase of activities, unaware at the initial allocation.



U.S. Department of Justice  
Office of Justice Programs  
Office for Victims of Crime

Grant


PAGE 1 OF 10

1. RECIPIENT NAME AND ADDRESS (Including Zip Code) Utah Office for Victims of Crime 350 E 500 South Suite 200 Salt Lake City, UT 84111-3326		4. AWARD NUMBER: 2016-VC-GX-0057	
		5. PROJECT PERIOD: FROM 10/01/2015 TO 09/30/2019 BUDGET PERIOD: FROM 10/01/2015 TO 09/30/2019	
		6. AWARD DATE 09/07/2016	7. ACTION Initial
2a. GRANTEE IRS/VENDOR NO. 870466115	8. SUPPLEMENT NUMBER 00		
2b. GRANTEE DUNS NO. 030353002	9. PREVIOUS AWARD AMOUNT \$ 0		
3. PROJECT TITLE OVC FY16 VOCA Victim Compensation Formula	10. AMOUNT OF THIS AWARD		\$ 3,165,000
	11. TOTAL AWARD		\$ 3,165,000
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).			
13. STATUTORY AUTHORITY FOR GRANT This project is supported under 42 U.S.C. 10602(a)			
14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number) 16.576 - Crime Victim Compensation			
15. METHOD OF PAYMENT GPRS			
AGENCY APPROVAL		GRANTEE ACCEPTANCE	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Joye E. Frost Director		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Gary A. Scheller Director	
17. SIGNATURE OF APPROVING OFFICIAL 		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL 	19A. DATE 9-8-16
AGENCY USE ONLY			
20. ACCOUNTING CLASSIFICATION CODES FISCAL FUND BUD. DIV. YEAR CODE ACT. OFC. REG. SUB. POMS AMOUNT X G V1 40 00 00 3165000		21. RV1PGT0046	

OJP FORM 4000/2 (REV. 5-87) PREVIOUS EDITIONS ARE OBSOLETE.

OJP FORM 4000/2 (REV. 4-88)



<b>Grant/Document:</b> 1701UT5050 <b>Subaccount:</b> MFCU17 <b>Period of Performance:</b> 10/1/2016 through 9/30/2017. <b>CFDA:</b> 93.775 <b>Program Title:</b> State Medicare Fraud Control Unit	 <p>U.S. DEPARTMENT OF HEALTH &amp; HUMAN SERVICES  <b>OFFICE OF INSPECTOR GENERAL</b></p> <p><b>Notice of Grant Award</b>          Award Authority: Section 1902(a)(61), 1903(a)(6), 1903(b)(3) and 1903(q)          of the Social Security Act</p>
<b>Financial Information</b> CAN: D9917DJ Appropriation: 75X0512 Object Class: 41501 EIN: 87600054515 DUNS: 944974104 Program Income: Deduction	<b>Grantee Information</b> State of Utah Office of Attorney General Medicaid Fraud Control Unit Criminal 5272 S College Drive Suite 300, Murray, UT, 84123 Director: Robert Steed

**Award Information**

<b>Total Approved Budget.... \$2,268,108</b> 75% Federal Share ..... \$1,701,080 25% Non-Federal Share.... \$567,028  Indirect rate... 20.40%  <b>Federal Award Description</b> Medicaid Fraud Control Units (MFCU) investigate and prosecute Medicaid fraud as well as patient abuse and neglect in health care facilities.	Federal funding will be obligated in quarterly amounts on the following schedule:  <table border="0"> <tr> <td><b>1<sup>st</sup> Quarter, on October 1, 2016</b></td> <td align="right"><b>\$425,270</b></td> </tr> <tr> <td><b>2<sup>nd</sup> Quarter, on January 1, 2017</b></td> <td align="right"><b>\$425,270</b></td> </tr> <tr> <td><b>3<sup>rd</sup> Quarter, on April 1, 2017</b></td> <td align="right"><b>\$425,270</b></td> </tr> <tr> <td><b>4<sup>th</sup> Quarter, on July 1, 2017</b></td> <td align="right"><b>\$425,270</b></td> </tr> </table> Matching requirement at end of grant period is 25% of Total Net Expenditures.	<b>1<sup>st</sup> Quarter, on October 1, 2016</b>	<b>\$425,270</b>	<b>2<sup>nd</sup> Quarter, on January 1, 2017</b>	<b>\$425,270</b>	<b>3<sup>rd</sup> Quarter, on April 1, 2017</b>	<b>\$425,270</b>	<b>4<sup>th</sup> Quarter, on July 1, 2017</b>	<b>\$425,270</b>
<b>1<sup>st</sup> Quarter, on October 1, 2016</b>	<b>\$425,270</b>								
<b>2<sup>nd</sup> Quarter, on January 1, 2017</b>	<b>\$425,270</b>								
<b>3<sup>rd</sup> Quarter, on April 1, 2017</b>	<b>\$425,270</b>								
<b>4<sup>th</sup> Quarter, on July 1, 2017</b>	<b>\$425,270</b>								

Is this award R&D? No

**Remarks:**

**General Terms and Conditions** for this award are hereby included by reference and can be found [here](#).


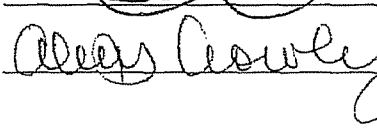
Subaccount

A Public Assistance (P) Account in the Division of Payment Management's (DPM) Payment Management System (PMS) has been created to provide separate accounting of federal funds per each document number. The subaccount code for this grant award is MFCU17.

Financial Reporting

The SF-425 due dates for the grant period of this award are as follows:

- The first quarter report covers the period beginning 10/1/2016 and ending 12/31/2016 and is due by 1/30/2017.
- The second quarter report covers the period beginning 10/1/2016 and ending 3/31/2017 and is due by 4/30/2017.
- The third quarter report covers the period beginning 10/1/2016 and ending 6/30/2017 and is due by 7/30/2017.
- The fourth quarter report covers the period beginning 10/1/2016 and ending 9/30/2017 and is due by 10/30/2017.
- The final report is due by 12/29/2017.

<b>Authorizing Officials and Contacts</b> Veronica Trevino, Budget Officer  Alexis Crowley, Grants Management Officer Alexis.Crowley@oig.hhs.gov, 202-708-9710  Susan Burbach, Program Analyst Susan.Burbach@oig.hhs.gov, 202-708-9789	 Date <b>OCT - 1 2016</b>   Date <b>OCT - 1 2016</b>
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# United States Department of the Interior

FISH AND WILDLIFE SERVICE

Albuquerque, New Mexico 87102



In Reply Refer To:  
FWS/R2/FAC/063848

APPROVED AUG 16 2016

Mr. Nathan Owens  
Utah Division of Wildlife Resources  
1594 West North Temple (P.O. Box 146301)  
Salt Lake City, Utah 84414-6301

DUNS: 176837664

Subject: Notice of Grant Award F16AP00868

Dear Mr. Owens:

Your organization's application for Federal financial assistance titled "Quagga Mussel Containment at Lake Powell" submitted to the U.S. Fish and Wildlife Service (Service)'s CFDA Program 15.608 is approved. This award is made under the authority of: Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended. For a complete list of this program's authorizing legislation, go to <https://www.cfda.gov/> and search by the CFDA Program number. This award is made based on Service approval of your organization's proposal signed on 8/2/2016, hereby incorporated by reference into this award. Funds under this award are to be used to providing staff biologist positions stationed at Lake Powell to oversee the containment efforts at the five main boat launches.

### Performance Period

The performance period of this award is 7/1/2016 through 6/30/2017. Only allowable costs resulting from obligations incurred during the performance period may be charged to this award. All obligations incurred under the award must be liquidated no later than 90 calendar days after the end of the performance period, unless the Service approves a final financial reporting period extension (see Reporting Requirements section below). If you need more time to complete project activities, you must submit a written request to the Service Project Officer identified in the Project Contacts section below before the end of the stated performance period (see Project/Program Plan and Budget Revisions section below).

This award is funded as follows:

	<u>Service</u>	<u>Recipient</u>
This obligation:	\$124,297.00	\$554,806.50
<b>Award Total:</b>	<b>\$124,297.00</b>	<b>\$554,806.50</b>

**UNITED STATES DEPARTMENT OF THE INTERIOR  
BUREAU OF RECLAMATION  
ASSISTANCE AGREEMENT**

1A. AGREEMENT NUMBER <b>R16AP00164</b>		1B. MOD NUMBER <b>N/A</b>		2. TYPE OF AGREEMENT <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> COOPERATIVE AGREEMENT		3. CLASS OF RECIPIENT <b>State Government</b>			
4. ISSUING OFFICE <b>Bureau of Reclamation Upper Colorado Regional Office 125 S. State Street, Room 8100 Salt Lake City, UT 84138</b>				5. RECIPIENT <b>Utah Department of Natural Resources 1594 W. North Temple #2110 Salt Lake City, UT 84116-3154</b>					
				EIN #:		<b>876000545</b>		County: <b>Uintah</b>	
				DUNS #:		<b>176837664</b>		Congress. Dist: <b>02</b>	
6. GRANTS MANAGEMENT SPECIALIST <b>Ossie Taylor Bureau of Reclamation Upper Colorado Regional Office 125 S. State Street, Room 8100 Salt Lake City, UT 84138 801-524-3806 otaylor@usbr.gov</b>				7. RECIPIENT PROJECT MANAGER <b>Krissy Wilson Utah Division of Wildlife Resources 1594 W. North Temple #2110 Salt Lake City, UT 84116-6301 801-538-4756 krissywilson@utah.gov</b>					
8. GRANTS OFFICER TECHNICAL REPRESENTATIVE <b>Mark McKinstry Bureau of Reclamation Upper Colorado Regional Office 125 S. State Street, Room 8100 Salt Lake City, UT 84138 801-524-3835 otaylor@usbr.gov</b>				9A. INITIAL AGREEMENT EFFECTIVE DATE: <b>See Box 17a.</b>		9B. MODIFICATION EFFECTIVE DATE: <b>N/A</b>			
				10. COMPLETION DATE: <b>September 30, 2019</b>					
11A. PROGRAM STATUTORY AUTHORITY <b>Upper Colorado and San Juan River Basin Recovery Implementation Programs Public Law 106-392, amended with Public Law 112-270</b>						11B. CFDA Number <b>15.529</b>			
12. FUNDING INFORMATION		RECIPIENT/OTHER		RECLAMATION		13. REQUISITION NUMBER <b>0020099942</b>			
Total Estimated Amount of Agreement		<b>\$0.00</b>		<b>\$639,694.22</b>		14A. ACCOUNTING AND APPROPRIATION DATA <b>16XR0680A3 RN.30440007.000000</b>			
This Obligation		<b>\$0.00</b>		<b>\$114,317.00</b>					
Previous Obligation		<b>\$0.00</b>		<b>\$0.00</b>					
Total Obligation		<b>\$0.00</b>		<b>\$114,317.00</b>					
Cost-Share %		<b>0%</b>		<b>100%</b>		14B. TREASURY ACCOUNT FUNDING SYMBOL <b>16X0680</b>			
15. PROJECT TITLE <b>Razorback Sucker Survey in Lake Powell</b>									
16a. Acceptance of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the above-named recipient  BY <u><i>Krissy Wilson</i></u> DATE: <u><i>12 Sept 16</i></u>				17a. Award of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the United States of America, Department of the Interior, Bureau of Reclamation  BY <u><i>Deborah Chorlton</i></u> DATE: <u><i>9-14-2016</i></u>					
16b. NAME, TITLE, AND TELEPHONE NUMBER OF SIGNER <b>Krissy Wilson Native Aquatic species 801-538-4756 Program Coordinator</b> <input type="checkbox"/> Additional signatures are attached				17b. NAME OF GRANTS OFFICER <b>Deborah Chorlton</b>					

1. DATE ISSUED MM/DD/YYYY 06/07/2016 | 2. CFDA NO. 93.945 | 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 5 NU58DP003996-05-00  
 Formerly 5U58DP003996-03 | 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 07/01/2012 Through 06/30/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH STATE PUBLIC HEALTH APPROACHES TO IMPROVING ARTHRITIS OUTCOMES

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Nichole Shepard  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231  
 Phone: 801-538-6259

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Michele Mercier  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: NO DATA

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<input type="checkbox"/>
II Total project costs including grant funds and all other financial participation	<input checked="" type="checkbox"/>
a. Salaries and Wages .....	102,970.00
b. Fringe Benefits .....	50,576.00
c. Total Personnel Costs .....	153,546.00
d. Equipment .....	0.00
e. Supplies .....	720.00
f. Travel .....	1,863.00
g. Construction .....	0.00
h. Other .....	20,299.00
i. Contractual .....	136,380.00
j. TOTAL DIRECT COSTS →	312,808.00
k. INDIRECT COSTS	19,500.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>332,308.00</b>
m. Federal Share	332,308.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	332,308.00
b. Less Unobligated Balance From Prior Budget Periods	19,843.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>312,465.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>1,743,669.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 6		d. 9	
b. 7		e. 10	
c. 8		f. 11	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION  
 b. ADDITIONAL COSTS  
 c. MATCHING  
 d. OTHER RESEARCH (Add / Deduct Option)  
 e. OTHER (See REMARKS)

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Pamela Render

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZREX	b. 003996DP14	c. DP	d. \$312,465.00	e. 75-16-0948
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 06/07/2016
GRANT NO. 5 NU58DP003996-05-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP003996-05-00

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1. Continuation terms
2. Technical Review

Funding Opportunity Announcement (FOA) Number: **CDC-RFA-DP12-1210**

Award Number: **NU58DP003996**

Award Type: **Cooperative Agreement**

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CDC-RFA-DP12-1210, entitled **State Public Health Approaches to Improving Arthritis Outcomes**, and application dated March 2, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$332,308** is approved for the Year 05 budget period, which is July 1, 2016 through June 30, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Use of Unobligated Funds:** This NoA includes use of Year **03** unobligated funds in the amount of **\$19,843**, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year **03** Federal Financial Report (FFR) dated **09/28/2015**. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, August 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By August 1, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

**FUNDING RESTRICTIONS AND LIMITATIONS**

**Funding Opportunity Announcement (FOA) Restrictions: N/A**

1. Indirect costs are approved based on the Indirect Cost Rate Agreement dated **08/12/2015**, which calculates indirect costs as follows, a **Provisional** is approved at a rate of **12.7 %** of the base, which includes, **salaries, wages, and fringe benefits**. The effective dates of this indirect cost rate are from **07/01/2016 through 06/30/2018**.

Type	Effective Date From	Effective Date To	Rate (%)	Location(s) Applicable To
<b>Provisional</b>	<b>07/01/2016</b>	<b>06/30/2018</b>	<b>12.7 %</b>	<b>All</b>

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or



officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/AntiLobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/AntiLobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

- D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.
- E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:  
Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

#### REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by September 30, 2017. Reporting timeframe is July 1, 2016 through June 30, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The annual Performance Report is due 90 days after the end of the budget period. Please reference the closeout requirements which follows in this NOA.

**Audit Requirement:** An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System  
Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit  
Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Electronic Copy to:  
[OGS.Audit.Resolution@cdc.gov](mailto:OGS.Audit.Resolution@cdc.gov) (CDC Office of Grants Services)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards. 2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

### Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and

- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C) (3)):
  - Governmental organization, which is a State, local government, or Indian tribe; ○ Foreign public entity; ○ Domestic or foreign non-profit organization; ○ Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a nonFederal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

- Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- Above-market earnings on deferred compensation which is not tax-qualified.
- **Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.**

#### GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by March 2, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **NU58DP003996**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money  
\$ dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, subgrant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source

or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, and PL 107347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website: [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “subgrant,” or “subgrantee”):  
3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

- (1) DoD, NASA, and the Coast Guard; or
- (2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-
  - (i) Relates to an activity of an element of the intelligence community; or
  - (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908.2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908.3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.



Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

- (a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).
- (b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.
- (c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

**PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- ☐ Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch: Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

**Grant Document Number:** 003996DP14

**Subaccount Title:** DP121210

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

#### CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is July 01, 2016 through June 30, 2017. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

#### CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to close out of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other nonprogrammatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies

- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Michele Mercier, Project Officer  
Centers for Disease Control  
ONDIEH/NCCDPHP  
Chamblee Bldg. 107  
Cube 6229.3  
Telephone: 770.488.4112  
Fax: 404.498.3919  
Email: [MMercier@cdc.gov](mailto:MMercier@cdc.gov)

Karen Simon, MPA, CGMS  
Contractor/Chenega Government Consulting, LLC  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCCO) Office of Grants Services (OGS)  
Centers for Disease Control and Prevention (CDC) \_  
[ksimon@cdc.gov](mailto:ksimon@cdc.gov) | 770-488-2615 office

Pamela Render  
Grants Management Specialist/Officer (GMS/GMO)  
Office of Financial Resources (OFR)

Office of the Chief Operating Officer (OCOO) Centers for Disease Control and Prevention (CDC)  
[PRender@cdc.gov](mailto:PRender@cdc.gov) | 770-488-2712 office

**Feedback on Year 5 Plans**

Covering: July 1, 2016 to June 30, 2017

**Reach Target: 19,500**

Recipient Activity	Performance Measures	Strengths, Weaknesses, and Recommendations
Program Infrastructure	1. Program is appropriately staffed, and résumé or curriculum vitae (CV) available for staff supported at 10% FTE or greater.	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>Program Staff for GY5 include a .5 FTE Program Manager, 1.0 FTE Program Coordinator, and 1.0 FTE CDC Public Health Associate/Health Program Specialist (this position is not funded by UAP). Modest support for administrative and financial staff. A proposed .3 FTE Epidemiologist/Evaluation Specialist position is to be hired. (pps.18-19)</li> </ul> <p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>Based on Epidemiologist/Evaluation Specialist duties described in Budget and Appendix A for GY4 IPR (UT did not include a staff matrix for GY5), it is not clear that an epidemiologist is the best person to be responsible for developing and maintaining system and support partnerships, and monitoring contracts. Additionally, the need for an overall program evaluation is not an FOA requirement.</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>Given that program evaluation is not a requirement of this FOA, please describe plans and need for overall program evaluation.</li> <li>Given that the Program Coordinator is the lead on developing and maintaining system and support partnerships, and the Health Program Specialist supports these activities as part of Program Planning duties, please elaborate on specific role of Epidemiologist/Evaluation Specialist in this realm.</li> <li>Given that the Program Manager, Program Coordinator and Support Services Coordinator are collectively responsible for contract administration, monitoring and payment, please elaborate on specific role of Epidemiologist/Evaluation Specialist.</li> <li>Given that UT-specific state BRFSS data is analyzed by CDC and provided to UT, elaborate on the need for UAP staff to do this.</li> </ul>
	2. Completion of online trainings, "Arthritis: The Public Health Approach" and "The Arthritis Challenge" for staff ≥25% FTE.	
	3. Attendance of at least one State Health Department staff member at arthritis grantee meetings.	
<b>Recipient Activity B</b>		
Data Collection and Surveillance	1. Arthritis Coordinator collaborates with state BRFSS coordinator to support the core Arthritis Burden module.	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>UAP plans to create at least two reports to communicate the burden of arthritis and impact data, to be shared with legislators and the governor's staff via the BPH Outcomes and Performance Measures Report and the Arthritis Prevalence Indicator (p.19).</li> <li>Arthritis is included in the UDOH Public Health Outcome Measures (PHOM) Report. The report provides up-to-date information about priority public health objectives (pps.19-20). [Note: it is not clear if PHOM and the BPH Outcomes and Performance Measures Report are the same report or different. Please clarify.]</li> <li>Arthritis Core Module automatically included in 2017 BRFSS survey; request for inclusion of Arthritis Management Module to be submitted in August 2016 (p.20).</li> <li>Evaluation Specialist/Epidemiologist will update fact sheets, burden documents, etc. as necessary with the most recently available state BRFSS data.</li> </ul>
	2. Arthritis Coordinator collaborates with the state BRFSS coordinator to support inclusion of the optional Arthritis Management module each year the core Arthritis Burden module is used.	
	3. Surveillance data are packaged and disseminated in appropriate formats (e.g., reports, fact sheets, and websites) to make	

	<p>the information useful and available to stakeholders and other partners throughout the project period.</p> <p>4. Arthritis-specific information and data are included in state chronic disease reports.</p>	<p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>•</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>•</li> </ul>
<b>Recipient Activity</b>		
<p>Embed Interventions into Delivery Systems and Promote Use of Interventions</p>	<p>1. The majority of the program efforts support intervention delivery.</p> <p>2. Number and potential reach of delivery system partners is sufficient to achieve state-specific reach goal.</p> <p style="padding-left: 20px;">a. At least 1 delivery system partner is addressing health equity</p> <p>3. Reasonable progress is being made toward state-specific reach goal.</p> <p>4. Number of new course offerings of state-selected interventions increased by 15% during each budget period.</p> <p>5. Reach and capacity data is being collected and reported.</p> <p>6. Collaborated with partners to provide technical assistance.</p>	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>• Overall collection of strategies for expanding reach and engaging new partners</li> <li>• UT will focus on expanding reach and embedding EBPs into the routine operations of 16 current delivery system partners, comprised of healthcare systems (4), AAAs (4), LHDs (5), and CBOs (3) (pps.21-22).</li> <li>• UT will continue supporting implementation of AFEP, CDSMP, EF, WWE and Tomando</li> <li>• UAP will focus on transitioning partners towards financial sustainability (p.21) and discontinue funding partners who can sustain program implementation on their own (p.22)</li> <li>• UAP will discontinue funding partners who are not progressing towards sustainability and are not able to produce reach necessary to sustain a partnership (p.22)</li> <li>• EPICC program (1305 funded programs) will provide a "small amount" of funding to at least one AAA to implement sustainability plans in GY5 and UAP will provide TA (p.22)</li> <li>• Funding allocated to partners will be for purposes of recruiting participants, marketing/course promotion, program logistics, and support functions, not reimbursement as in previous years (p.22)</li> <li>• UAP will implement a non-contract partner agreement as a means of increasing implementation partners who do not receive UAP funding. Benefits include offering Living Well workshops under UAP's statewide license, free Peer Leader Trainings, and technical assistance from UAP. In return, partners will submit participant data, maintain program fidelity and participate in the Living Well Coalition (p.23).</li> <li>• UAP will support Molina Healthcare, a potentially high-yield partner with the capacity to embed EBPs, with implementation of CDSMP (p.23).</li> <li>• UAP will focus on recruiting and growing a new delivery system partner with the capacity for significant reach. Four high priority partnerships have been identified: MountainStar Health, Central Utah Clinics, West Valley City Parks &amp; Rec, and YMCA (p.23).</li> <li>• To better utilize existing leaders, UAP will create a database with current leader availability and contact information for organizations seeking to provide workshops/courses.</li> <li>• UAP will conduct four CDSMP and one Tomando course leader training, and support online WWE and AFEP leader trainings (p.24).</li> <li>• UT plans to continue work with numerous partners serving populations with health inequities including rural, low-income, minority, disabled and/or Veteran populations (p.25). <i>Ability 1<sup>st</sup> Utah</i>, <i>Centro Hispano</i>, and <i>People's Health Clinic of Utah</i> will continue promoting EBPs to the populations they serve (those experiencing health in equity) but will now work in collaboration with larger delivery system partners (p.22).</li> <li>• Implementation of the Partner Portal/Compass for collecting participant reach data (p.25). To promote use as part of the transition from a paper-based to an electronic system, partners who consistently submit data via the portal are provided with course books (p.29)</li> <li>• Plans for TA including, but not limited to, site visits, online partner resources, hosting Living Well Coalition meetings, EBP support and Partner Portal/Compass training (p.25)</li> </ul> <p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>• 11 objectives are proposed. This may diffuse staff efforts and may not be realistic.</li> <li>• How is the need for four CDSMP and one Tomando course leader training determined?</li> <li>• What type of support is to be provided for online WWE and AFEP leader trainings (p.24)?</li> </ul>

		<p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>• For the contract with AF-Great West Region, elaborate on what technical assistance and support entails for WWE partners.</li> <li>• Define what “support functions” entail in proposed contracts with AAAs, LHDs, Health Systems and CBOs. [Note: in addition to providing partners with modest funding for participant recruitment, marketing/course promotion, and program logistics, supplies may also be an acceptable budget expense.]</li> <li>• Confirm that the proposed contracts with AAAs, LHDs, Health Systems and CBOs do not include paying for staff time to lead courses.</li> <li>• Address need for EBP leader/instructor training.</li> <li>• In collaboration with CDC, prioritize proposed objectives.</li> </ul>
<b>Recipient Activity D</b>		
<p>Support Evidence-based Practice &amp; Environmental Approaches to Address Arthritis</p>	<p>1. Arthritis information is included in appropriate state health department and other partner communications.</p> <p>2. Progress toward implementing 3 evidence-based practice or environmental approaches that enhance intervention access and use over the course of the cooperative agreement.</p>	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>• UAP plans to create at least two reports to communicate the burden of arthritis and impact data, to be shared with legislators and the governor’s staff via the BHP Outcomes and Performance Measures Report and the Arthritis Prevalence Indicator (pps.19, 26-27).</li> <li>• In response to the updated D2 requirement. UAP, in collaboration with EPICC (the Diabetes Program, specifically) and the Asthma Program, will convene five intervention delivery partners that provide interventions supported by the Arthritis, Diabetes and/or Asthma program. Potential partners are identified (p.27). UT’s Living Well Coalition (CDSMP/DSMP leaders) will also participate.</li> <li>• Partner Portal/Compass, a program locator with enhanced functionality, financially supported by EPICC. Currently used by EPICC (Diabetes program specifically), VIPP and UAP (pps.25-26).</li> <li>• UAP, Diabetes (EPICC) and VIPP are jointly launching a referral website (livingwell.utah.gov) for healthcare providers to refer patients to EBPs (p.27). The website will be connected with the Partner Portal/Compass so providers and the public can find, register and refer to EBPs. A summit to promote use of the website by healthcare providers in large health systems will be held in GY5 and co-hosted by UAP, EPICC, VIPP, HealthInsight (UT’s QIO) and delivery partners. During GY5, UAP will explore options to tie EHRs into the referral site, as well as incorporate bi-directionality.</li> <li>• UAP will continue to work on embedding EBPs into worksite wellness programs (p.28)</li> <li>• UAP will continue to work on a CMS reimbursement/waiver strategy for EBP participation (p.28).</li> </ul> <p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>•</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>•</li> </ul>
<b>Recipient Activity E</b>		
<p>Communi-cations</p>	<p>1. Estimated exposures to the health communications campaign equals 3 times the number of people with arthritis in the target area.</p> <p>2. Obtain media coverage of one arthritis-appropriate intervention and one arthritis-specific data release in each funding year.</p>	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>• By Fall of 2016 UAP will review newly available small area data to determine campaign location (p.29)</li> <li>• UAP understands campaign exposure requirements and has successfully implemented campaign in previous years.</li> <li>• At least twice a year, UAP will coordinate with the UDOH Public Information Officer to obtain media coverage (pps.29-30). [Note: the requirement is for coverage of an arthritis-appropriate EBP and an arthritis-specific data release. Depending on the content, this means one print article or one broadcast piece could potentially satisfy both requirements.]</li> </ul>



		<p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>• UAP does not indicate when they plan to run the HCC campaign.</li> <li>• UAP's approach to obtaining earned media coverage is limited and could be more pro-active. This has been a weakness in previous years.</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>• Discuss plans to pro-actively obtain earned media coverage with CDC.</li> </ul>
<b>Recipient Activity F</b>		
<p>Enhance Capacity for Monitoring Performance</p>	<p>1. Performance monitoring plan documents interim and annual progress towards and completion of items in the work plan.</p>	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>• Provided performance monitoring plan (PMP) for overseeing progress in carrying out GY5 activities. In general, objectives selected for enhanced monitoring are likely to expand participant reach and build partner capacity. Milestones and corresponding due dates are included. (Appendix K).</li> <li>• UT's Partner Portal/Compass provides enhanced data collection functionality, and UAP will provide training on collecting reach and capacity data to users (p.30).</li> </ul>
	<p>2. Demonstrated evidence of use of data repositories.</p>	
	<p><b>3. Complete and timely use of the CDC approved management information system.</b></p>	<p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>• In general, the objectives are not SMART—specific, measurable, achievable/realistic, relevant, time-bound. Some are more activities than objectives.</li> <li>• Purpose of objective related to Living Well Coalition is not provided.</li> <li>• Baseline measurement for healthcare referral objective is not provided.</li> <li>• Objective related to moving a pending partner to emerging status is combined with recruiting a new delivery system partner (double-barreled).</li> <li>• A number of identified milestones are processes.</li> <li>• Collection of demographic profile data is not explicitly addressed.</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>• Review and revise PMP/MS chart in collaboration with CDC.</li> </ul>
<b>Recipient Activity G</b>		
<p>Work in Collaboration with Other Chronic Disease Programs and Relevant Stakeholders</p>	<p>1. Collaboration with other state health department programs that enhance the grantee's execution of the work plan.</p>	<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>• Integration of programs with aligned goals and strategies within the Bureau of Health Promotion. Leveraging of resources. (pps.30-31)</li> <li>• UAP, Diabetes (EPICC) and VIPP joint launching of referral website (livingwell.utah.gov) for healthcare providers to refer patients to EBPs (p.27). Referral website will be connected with the Partner Portal/Compass so providers and the public can find, register and refer to EBPs. A summit (<i>Creating Value Through Health</i>) co-hosted by UAP, EPICC, VIPP, HealthInsight (UT's QIO) and delivery partners to promote use of the website will be held in GY5.</li> <li>• Referrals from Health Resource Line, Tobacco Quitline and Cancer Program.</li> </ul>
	<p>2. Active participation in the execution of the work plan by relevant stakeholders (ex. aging, disability, injury, etc.).</p>	
	<p>3. State arthritis program priorities included in the state chronic disease plan.</p>	
	<p>4. Arthritis Program Coordinator/Manager is a member of the state chronic disease coalition.</p>	<p><b>Weaknesses/Concerns:</b></p> <ul style="list-style-type: none"> <li>• Little information is providing on stakeholder participation executing the work plan.</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>• Discuss stakeholder participation with work plan implementation with CDC.</li> </ul>

**Summary**

**Strengths:**

- UT has 16 fully active delivery system partners
- UT is supporting five interventions
- Plans to expand capacity of newly recruited delivery partners to implement EBPs
- Program locator and data collection portal for partners (*Compass*), and launch of a healthcare provider referral website integrated into the partner portal
- UAP collaboration with other state health department programs
- Plans to address the new D2 requirement

**Weaknesses (needing a response):**

**Recommendations:**

- Bolster plans to pro-actively obtain earned media coverage.
- Review PMP/MS Chart with project officer; revise.

**Summary**

- The majority of UAP efforts support intervention delivery, although participant reach goal is on the low side.
- UT has strong delivery system partners and supports implementation of 5 EBPs.
- UAP will work with intervention delivery partners to expand available course sites and maximize course/workshop participation.
- UAP is actively promoting the sharing of EBP leaders/trainers among DSPs to increase number of course offerings.
- UAP has identified promising high-yield delivery system partnerships to pursue.

*Michele M. Mercier*

**Signature**

*April 20, 2016*

**Date**

**U.S. DEPARTMENT OF LABOR  
EMPLOYMENT AND TRAINING  
ADMINISTRATION (DOL/ETA)**

**NOTICE OF  
AWARD (NOA)**

Under the authority of the *American Competitiveness and Workforce Improvement Act*, this grant or agreement is entered into between the above named *Grantor Agency* and the following named *Awardee*, for a project entitled - **APPRENTICESHIPUSA STATE ACCELERATOR GRANTS FUNDING ANNOUNCEMENT.**

**Name & Address of Awardee:**  
UTAH DEPARTMENT OF WORKFORCE SERVICES  
140 EAST 300 SOUTH  
SALT LAKE CITY, UTAH 84145-0249

**Federal Award Id. No. (FAIN): AP-29333-16-55-A-49**  
**CFDA #: 17.285- Apprenticeship USA Grants**  
**Amount: \$200,000.00**  
**EIN: 876000545**  
**DUNS #: 037936759**

**Accounting Code:** 1630-2016-0501741617BD201601740024165AP001A0000AATELSAATELS-A90600-410023-ETA-DEFAULT TASK-

The Period of Performance shall be from **June 01, 2016 thru May 31, 2018.**  
Total Government's Financial Obligation is **\$200,000.00** (unless other wise amended).

Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with all applicable Statute(s), and the following regulations and cost principles, including any subsequent amendments:

**Uniform Administrative Requirements, Cost Principles, and Audit Requirements:**

2 CFR Part 200; Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule  
2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200;

**Other Requirements (Included within this NOA):**

Condition(s) of Award (if applicable)  
Federal Award Terms, including attachments

**Contact Information**

The Federal Project Officer (FPO) assigned to this grant is Cynthia Green. Cynthia Green will serve as your first line point of contact and can be contacted via e-mail - [green.cynthia@dol.gov](mailto:green.cynthia@dol.gov). If your FPO is not available, please call your Regional Office at 972-850-4600 for assistance.

The awardee's signature below certifies full compliance with all terms and conditions as well as all applicable Statues(s), grant regulations, guidance, and certifications.

Signature of Approving Official - **AWARDEE**

Signature of Approving Official - **DOL / ETA**

See SF-424 for Signature

No Additional Signature Required



**Lynn Fraga**, July 06, 2016  
Grant Officer

**SPECIAL CONDITIONS**  
**ApprenticeshipUSA: State Accelerator Grants**  
**Funding Opportunity through Training and Employment Guidance Letter 19-15**

**Utah Department of Workforce Services - AP-29333-16-55-A-49**

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The recipient's submission requires modifications as indicated below. The recipient **MUST, per Section 7 of this grant agreement,** contact your Federal Project Officer (FPO) as soon as possible for additional guidance.

Please note that a submittal of revised documents does not in and of itself constitute approval by the Employment and Training Administration, and final approval must be given by the Grant Officer. Once approved, the revised documents will comprise the official modification to this grant agreement and the special conditions will be resolved.

**Conditions of Award**

As a condition of this grant award, the recipient must agree to address the issues identified below, and within the time frame included in the condition:

**I Planning Tool**

*On or before August 15, 2016*, the recipient must complete the ApprenticeshipUSA Action Planning Tool, included as Attachment 1 to TEG-19-15, available here:  
[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5364](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5364)

# TERMS AND CONDITIONS

## ApprenticeshipUSA: TEG-19-15

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*Attachment A: SF-424*  
*Attachment B: SF-424A*  
*Attachment C: Budget Narrative*  
*Attachment D: Statement of Work*  
*Attachment E: Negotiated Indirect Cost Rate Agreement*  
*(if applicable)*

## **1. Order of Precedence**

The terms and conditions of this Notice of Award and other requirements have the following order of precedence if there is any conflict in what they require:

- (1) National Apprenticeship Act, 29 U.S.C. §50;
- (2) Consolidated Appropriations Act, 2016, Pub. L. 114-113 Div. H, Title I;
- (3) other applicable Federal statutes and their implementing regulations; (4) terms and conditions of award.

## **2. Funding Opportunity through a Training and Employment Guidance Letter (TEGL)**

The TEGL and any amendments ([http://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=5364](http://wdr.doleta.gov/directives/corr_doc.cfm?docn=5364)) are hereby incorporated into this Grant Agreement. Recipients are bound by the authorizations, restrictions, and requirements contained in the TEGL.

## **3. Approved Statement of Work**

As a condition for receipt of funds under this Agreement, the recipient agrees to meet the requirements including in TEGL 19-15 and the terms and conditions of this Agreement.

## **4. Approved Budget**

The recipient's budget documents are attached in this Notice of Award Package. The documents are: 1) the SF-424, included at Attachment A; 2) the SF-424 A, included at Attachment B; and 3) the Budget Narrative, included at Attachment C. The recipient must confirm that all costs are allowable before expenditure. Pursuant 2 CFR 2900.1, approval of the budget as awarded does not constitute prior approval of those specified in 2 CFR 200 or this grant award as requiring prior approval. The Grant Officer is the only official with the authority to provide such approval.

## **5. Resources and Information**

Additional resources and information to assist you is located on the ETA website at <https://www.doleta.gov/grants/resources.cfm> . This site contains information about the Uniform Guidance, general terms and conditions, indirect cost assistance, recipient training resources and other relevant information.

## **6. Evaluation, Data, and Implementation**

The recipient must cooperate with the DOL in the conduct of a third-party evaluation, including providing DOL or its authorized contractor with appropriate data and access to program operating personnel and participants in a timely manner.

## 6. Indirect Cost Rate and Cost Allocation Plan

A. A **current** federally approved Negotiated Indirect Cost Rate Agreement (NICRA) or current federally approved Cost Allocation Plan (CAP) has been provided – copy attached. Regarding only the NICRA:

(1) Indirect Rate approved: \_\_\_\_\_ %

(2) Type of Indirect Cost Rate: \_\_\_\_\_

(3) Allocation Base: \_\_\_\_\_

(4) Current period applicable to rate: \_\_\_\_\_

Estimated Indirect Costs are shown on the SF-424A budget form. If a new NICRA is issued during the life of the grant, it must be provided to DOL within 30 days of issuance. Funds may be re-budgeted as necessary between direct and indirect costs consistent with institutional requirements and DOL regulations for prior approval, however the total amount of grant award funding will not be increased. Any budget changes impacting the Statement of Work and agreed upon outcomes or deliverables require a request for modification and prior approval from the Grant Officer.

B. (1) \_\_\_\_\_ Latest NICRA or CAP approved by the Federal Cognizant Agency<sup>1</sup> (FCA) is not current, or

(2) \_\_\_\_\_ No NICRA or CAP has ever been approved by an FCA.

**URGENT NOTICE:** Estimated indirect costs have been specified on the SF-424A, Section B, Object Class Category “j”, however only **\$ 5,090.00** will be released to support indirect costs in the absence of a NICRA or CAP approved by the cognizant agency. The remaining funds which have been awarded for Indirect Costs are restricted and may not be used for any purpose until the awardee provides a signed copy of the NICRA or CAP and the restriction is lifted by the Grant Officer. Upon receipt of the NICRA or CAP, ETA will issue a grant modification to the award to remove the restriction on those funds.

The awardee must submit an indirect cost rate proposal or CAP. These documents should be submitted to DOL’s Division of Cost Determination (DCD), or to the awardee’s Federal Cognizant Agency. In addition, the awardee must notify the Federal Project Officer that the documents have been sent. Contact information for the DCD is available at <http://www.dol.gov/oasam/boc/dcd/>. If this proposal is not submitted **within 90 days of the effective date of the award**, no funds will be approved for the reimbursement of indirect costs. Failure to submit an indirect cost proposal by the above date means the grantee will not receive further reimbursement for indirect costs until a signed copy of the federally approved NICRA or CAP is provided and the restriction is lifted by the Grant Officer. All indirect charges must be returned through the Payment Management System and no indirect charges will be reimbursed.

The total amount of DOL’s financial obligation under this grant award **will not** be increased to reimburse the awardee for higher negotiated indirect costs.

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<sup>1</sup> The Federal agency providing the organization the preponderance of direct Federal funds.

- \_\_\_ C. The organization elected to exclude indirect costs from the proposed budget. Please be aware that incurred indirect costs (such as top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are indirect costs. Only direct costs, as defined by the applicable cost principles, will be charged. Audit disallowances may occur if indirect costs are misclassified as direct.
- \_\_\_ D. The organization has never received a negotiated indirect cost rate and, with and pursuant to the exceptions noted at 2 CFR 200.414(f) in the Cost Principles, and has elected to charge a de minimis rate of 10% of modified total direct costs (see 2 CFR 200.68 for definition) which may be used indefinitely. This methodology must be used consistently for all Federal awards until such time as you choose to negotiate for an indirect cost rate, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

If DOL is your FCA, grantees should work with DOL's DCD, which has delegated authority to negotiate and issue a NICRA or CAP on behalf of the Federal Government. More information about DOL's DCD is available at <http://www.dol.gov/oasam/boc/dcd/>. This website has guidelines to develop indirect cost rates, links to the applicable cost principles, and contact information. The DCD also has Frequently Asked Questions providing general information about the indirect cost rate approval process and due dates for provisional and final indirect cost rate proposals at <http://www.dol.gov/oasam/faqs/FAQ-dcd.htm>.

## 7. Federal Project Officer

The DOL/ETA Federal Project Officer (FPO) for this award is:

Name: Cynthia Green

Telephone: 972-850-4619

E-mail: [Green.Cynthia@dol.gov](mailto:Green.Cynthia@dol.gov)

The FPO is not authorized to change any of the terms or conditions of the award or approve prior approval requests. Any changes to the terms or conditions or prior approvals must be approved by the Grant Officer through the use of a formally executed award modification.



## 9. Notice of Award

Funds shall be obligated and allocated via a Notice of Award (NOA) grant modification. Obligations and costs may not exceed the amount awarded by the NOA modification unless otherwise modified by ETA. Funds are obligated for the amount indicated in the "Modification 0" NOA in accordance with the recipient's award amount. The Federal obligation level will be amended by the Grant Officer to increase (or adjust) amounts available to the recipient as funds become available for obligation and additional Notice of Award (or Deobligation) grant modifications are required and issued.

## 10. OTCnet Program Check Capture Legal Notices

The Department of Labor, Employment Training and Administration will be using U.S. Treasury Paper Check Conversion. Henceforth, processing of Check Payments received in Person or by Mail will be converted into an electronic funds transfer (EFT).

## 11. Funding Restrictions

### a. Budget Flexibility

As directed in 2 CFR 200.308(e), the transfer of funds among direct cost categories or programs, functions and activities is restricted such that if the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency, the recipient must receive prior approval from the Grant Officer.

### b. Mileage Reimbursement Rates

Pursuant to 2 CFR 200.474(a), recipients must have policies and procedures in place related to travel costs; however, for reimbursement on a mileage basis, this federal award cannot be charged more than the maximum allowable Mileage Reimbursement Rates for Federal employees. The 2015 Mileage Reimbursement Rates are:

Modes of Transportation	Effective/Applicability Date	Rate per mile
Privately owned automobile	January 1, 2015	\$0.575
Privately owned motorcycle	January 1, 2015	\$0.545

Mileage rates must be checked annually at [www.gsa.gov/mileage](http://www.gsa.gov/mileage) to ensure compliance.

### c. Foreign Travel

Foreign travel is not allowable except with prior written approval. Prior written approval must be obtained from the Grant Officer through the process described in 2 CFR 200.407 and 2 CFR 2900.16. All travel, both domestic and Grant Officer-approved foreign travel, must comply with the Fly America Act (49 USC 40118), which states in part that any air transportation, regardless of price, must be performed by, or under a code-sharing arrangement with, a US Flag air carrier if service provided by such carrier is available.

## 12. Administrative Requirements

### a. System for Award Management and Universal Identifier Requirements

#### 1. Requirement for System of Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

#### 2. Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

- i. Must notify potential subrecipients that no entity (*see* definition in paragraph [3] of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
- ii. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

#### 3. Definitions

For purposes of this award term:

- i. *System of Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
- ii. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
- iii. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- iv. *Subaward*:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330).
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
- v. *Subrecipient* means an entity that:
  - a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

## **b. Federal Funding Accountability and Transparency Act**

1. *Reporting of first-tier subawards.*
  - i. *Applicability.* Unless you are exempt as provided in paragraph [4.] of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph [5.] of this award term).
  - ii. *Where and when to report.*
    - a. You must report each obligating action described in paragraph [1.i.] of this award term to <http://www.fsrs.gov>.
    - b. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
  - iii. *What to report.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.
2. *Reporting Total Compensation of Recipient Executives.*
  - i. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
    - a. the total Federal funding authorized to date under this award is \$25,000 or more;
    - b. in the preceding fiscal year, you received—
      - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
      - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - c. The public does not have access to information about the compensation of the executives 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. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execompl.htm>.)
  - ii. *Where and when to report.* You must report executive total compensation described in paragraph [2.i.] of this award term:
    - a. As part of your registration profile at <http://www.sam.gov>.
    - b. By the end of the month following the month in which this award is made, and annually thereafter.
3. *Reporting of Total Compensation of Subrecipient Executives.*
  - i. *Applicability and what to report.* Unless you are exempt as provided in paragraph [4.] of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
    - a. in the subrecipient's preceding fiscal year, the subrecipient received—
      - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
      - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

- b. The public does not have access to information about the compensation of the executives 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. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
  - ii. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph [3.i] of this award term:
    - a. To the recipient.
    - b. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.
- 4. *Exemptions*  
If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:
  - i. Subawards, and
  - ii. The total compensation of the five most highly compensated executives of any subrecipient.
- 5. *Definitions.* For purposes of this award term:
  - i. *Entity* means all of the following, as defined in 2 CFR part 25:
    - a. A Governmental organization, which is a State, local government, or Indian tribe;
    - b. A foreign public entity;
    - c. A domestic or foreign nonprofit organization;
    - d. A domestic or foreign for-profit organization;
    - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
  - ii. *Executive* means officers, managing partners, or any other employees in management positions.
  - iii. *Subaward:*
    - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
    - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see [2 CFR 200.330]).
    - c. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
  - iv. *Subrecipient* means an entity that:
    - a. Receives a subaward from you (the recipient) under this award; and
    - b. Is accountable to you for the use of the Federal funds provided by the subaward.
  - v. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
    - a. *Salary and bonus.*
    - b. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

- c. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- d. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
- e. *Above-market earnings on deferred compensation which is not tax-qualified.*
- f. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

### c. Personally Identifiable Information

Recipients must recognize and safeguard personally identifiable information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Recipients must meet the requirements in Training and Employment Guidance letter (TEGL 39-11, Guidance on the Handling and Protection of Personally Identifiable Information (PII)), (located at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872) )

### d. Audits

Organization-wide or program-specific audits shall be performed in accordance with the Single Audit Act Amendments of 1996. Recipients that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in 2 CFR 200.501. The provisions of 2 CFR Subpart F, Audit Requirements, will apply to audits of non-Federal entity fiscal years beginning on or after December 26, 2014. The revised audit requirements are not applicable to fiscal years beginning prior to that date.

### e. Equipment

Recipients must receive **prior approval** from the DOL/ETA Grant Officer for the purchase of any equipment with a per unit acquisition cost of \$5,000 or more, and a useful life of more than one year. This includes the purchases of Automated Data Processing (ADP) equipment. Equipment purchases must be made in accordance with 2 CFR 200.313 or 2 CFR 200.439.

This grant award **does not** give approval for equipment specified in a recipient's budget or statement of work unless specifically approved above. If not specified above, the recipient must submit a detailed description list to the FPO for review within 90 days of the Notice of Award date. Failure to do so will necessitate the need for approval of equipment purchase on an individual basis.

Recipients may not purchase equipment in the last year of performance. If any approved acquisition has not occurred prior to the last year of performance, approval for that item(s) is rescinded.

### f. Program Income

The Addition method as described in 2 CFR 200.307 must be used in allocating any program income generated for this grant award. The recipient is allowed to deduct costs incidental to generating Program Income to arrive at a Program Income. Reporting on program income expenditures must be reported on the ETA-9130.

## g. Pre-Award

All costs incurred by the recipient prior to the start date specified in the award issued by the Department are ***incurred at the recipient's own expense.***

## h. Reports

All ETA recipients are required to submit quarterly financial and narrative progress reports for each grant award.

- A. **Quarterly Financial Reports.** All ETA recipients are required to report quarterly financial data on the ETA 9130. ETA 9130 reports are due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31. A final financial closeout report is required to be submitted no later than 90 calendar days after the grant period of performance ends. For guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 13-12.

ETA requires all grant recipients to submit the 9130 form electronically through an on-line reporting system. Expenditures are required to be reported on an accrual basis, cumulative from the beginning of the life of a grant, through the end of each reporting period.

The instructions for accessing both the on-line financial reporting system and the HHS Payment Management System can be found in the transmittal memo accompanying this Notice of Award. To gain access to the online financial reporting system, a request for a password and pin must be submitted via e-mail to [ETApasword.pin@dol.gov](mailto:ETApasword.pin@dol.gov). The Financial Report Access Document, copies of the ETA 9130, and detailed reporting instructions are available at [www.doleta.gov/grants/financial\\_reporting.cfm](http://www.doleta.gov/grants/financial_reporting.cfm).

- B. **Quarterly Narrative Progress Reports.** The specific format and submission requirements of this progress report will be conveyed by ETA to recipients in the upcoming months following approval by the Office of Management and Budget.

Upon approval, recipients will be required to submit a narrative quarterly and final report to the designated Federal Project Officer (FPO) on grant activities funded under this award. All reports are normally due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31. The report will provide both quarterly and cumulative information on the grant's activities. It must summarize project activities, outcomes and other deliverables of the project

## i. Managing Subawards

*Subaward* means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

The provisions of the Terms and Conditions of this award will be applied to any subrecipient under this award. The recipient is responsible for the monitoring of the subrecipient, ensuring that the

Terms and Conditions are in all subaward packages and that the subrecipient is in compliance with all applicable regulations and the terms and conditions of this award (2 CFR 200.101(b)(1)).

#### **j. Final Year/Closeout Requirements**

At the end of the grant period, the recipient will be required to close the grant with ETA. The recipient will be notified approximately 15 days prior to the end of the period of performance that the initiation of closeout will begin at the end of the grant. Information concerning the recipient's responsibilities at closeout may be found in 2 CFR 200.343.

#### **k. Publicity**

No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, radio, television or film presentation designed to support or defeat legislation pending before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any state or local government, except in presentation to the executive branch of any state or local government itself. Nor shall grant funds be used to pay the salary or expenses of any recipient or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive Order proposed or pending before the Congress, or any state government, state legislature, or local legislature body other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local, or tribal government in policymaking and administrative processes within the executive branch of that government.

#### **l. Procurement**

The Uniform Administrative Requirements (2 CFR 200.317) require states to follow the same policies and procedures it uses for non-federal funds. The state will comply with §200.322 Procurement of recovered *materials* and ensure that every purchase order or other contract includes any clauses required by section §200.326 Contract provisions. Recipients must also follow the requirements regarding the competitive award of One-Stop Operators and youth service providers in the Workforce Investment and Opportunity Act at WIOA Sec. 121(d) and sec. 123.

#### **m. Vendor/Contractor**

The term "contractor", sometimes referred to as a vendor, is a dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program. (2 CFR 200.23) These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a contractor (vendor) is provided in 2 CFR 200.330. When procuring contractor provided goods and services, DOL ETA recipients and subrecipients must follow the procurement requirements 2 CFR 200.319, which call for free and open competition.

## n. Intellectual Property Rights

The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work, although they may be used to pay costs for obtaining a copy which is limited to the developer/seller costs of copying and shipping. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income must be used in accordance with the provisions of this grant award and 2 CFR 200.307.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

**“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the recipient and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it.”**

## o. Bayh-Dole Act and Intellectual Property

With the exception of grants made for educational purposes, all non-federal entities must adhere to the Bayh-Dole Act, which requirements are provided at 37 CFR 401.3(a). To summarize, these requirements describe the ownership of Intellectual Property rights and the government’s nonexclusive, nontransferable, irrevocable, paid-up license to use any invention conceived or first actually reduced to practice in the performance of work under this grant.

## p. Creative Commons License Requirement

Pursuant to 2 CFR 2900.13, intellectual property must be licensed under a Creative Commons Attribution 4.0 (CC BY) license, which allows subsequent users to copy, distribute, transmit and adapt the copyrighted work and requires such users to attribute the work in the manner specified by the recipient. For general information on CC BY, please visit <http://creativecommons.org/licenses/by/4.0>. Instructions for marking your work with CC BY can be found at [http://wiki.creativecommons.org/Marking\\_your\\_work\\_with\\_a\\_CC\\_license](http://wiki.creativecommons.org/Marking_your_work_with_a_CC_license).

## q. Requirements for Conference and Conference Space

Conferences sponsored in whole or in part by the recipient of Federal awards are allowable if the



conference is necessary and reasonable for the successful performance of the Federal Award. Recipients are urged to use discretion and judgment to ensure that all conference costs charged to the grant are appropriate and allowable. For more information on the requirements and allowability of costs associated with conferences, refer to 2 CFR 200.432. Recipients will be held to the requirements in 2 CFR 200.432. Costs that do not comply with 2 CFR 200.432 will be questioned and may be disallowed.

#### **r. Travel**

This award waives the prior approval requirement for domestic travel as contained in 2 CFR 200.407. For domestic travel to be an allowable cost, it must be necessary, reasonable, allocable and conform to the non-Federal entities written policies and procedures. All travel must also comply with Fly America Act ( 49 USC 40118), which states in part that any air transportation, regardless of price, must be performed by, or under a code-sharing arrangement with, a US Flag air carrier if service provided by such carrier is available.

### **13. Program Requirements**

The TEGL contains the program requirements for this award, and is hereby incorporated by reference: [http://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=5364](http://wdr.doleta.gov/directives/corr_doc.cfm?docn=5364).

### **14. Appropriations Requirements**

#### **a. Consultants and Salary and Bonus Limitations**

Pursuant to P.L. 114-113, Division H, Title I, Section 105 none of the funds appropriated under the heading "Employment and Training" shall be used by a recipient or sub-recipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. See Training and Employment Guidance Letter No. 5-06 for further clarification, available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262) . The Executive Level II salary may change yearly and is located on the OPM.gov website (<http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2016/executive-senior-level> ).

The salary and bonus limitation does not apply to contractors (vendors) providing goods and services as defined in 2 CFR 200.330. The salary and bonus limitation does apply to a consultant only when that consultant is considered a subrecipient according to 2 CFR 200.330. Such consultants cannot exceed the daily rate equivalent of the OPM Executive Level II salary level in effect at the time services are rendered. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs.

#### **b. Funding for Travel to and from Meetings with an Executive Branch Agency**

Pursuant to P.L. 114-113, Division E, Title VII, Section 739, grant funds may not be used for the purposes of defraying the costs of a conference held by any Executive branch department, agency,

board, commission, or office unless it is directly and programmatically related to the purpose for which the grant or contract was awarded.

No funds made available through DOL appropriations may be used for travel and conference activities that are not in compliance with Office of Management and Budget Memorandum M-12-12 dated May 11, 2012 or any subsequent revisions to that memorandum.

**c. Reporting of Waste, Fraud and Abuse**

Pursuant to P.L. 114-113, Division E, Title VII, Section 743, no entity receiving federal funds may require employees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

**d. Prohibition on Contracting with Corporations with Unpaid Tax Liabilities**

Pursuant to P.L. 114-113, Division E, Title VII, Section 745, the recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless a Federal agency has considered suspension or debarment of the corporation and has made a determination that this further action is not necessary to protect the interests of the Government.

**e. Prohibition on Contracting with Corporations with Felony Criminal Convictions**

Pursuant to P.L. 114-113, Division E, Title VII, Section 746, the recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months, unless a Federal agency has considered suspension or debarment of the corporation and has made a determination that this further action is not necessary to protect the interests of the Government.

**f. Prohibition on Procuring Goods Obtained Through Child Labor**

Pursuant to P.L. 114-113, Division H, Title I, Section 103, no funds may be obligated or expended for the procurement of goods mined, produced, manufactured, or harvested or services rendered, in whole or in part, by forced or indentured child labor in industries and host countries identified by DOL prior to December 18, 2015. DOL has identified these goods and services here:<http://www.dol.gov/ilab/reports/child-labor/list-of-products/index-country.htm> .

**g. Requirement to Provide Certain Information in Public Communications**

Pursuant to P.L. 114-113, Division H, Title V, Section 505, when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all recipients receiving Federal funds shall clearly state:

1. The percentage of the total costs of the program or project which will be financed with Federal money;
2. The dollar amount of Federal funds for the project or program; and

3. The percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

The requirements of this part are separate from those in the 2 CFR 200 and, when appropriate, both must be complied with.

#### **h. Restriction on Health Benefits Coverage for Abortions**

Pursuant to P.L. 114-113, Division H, Title V, Sections 506 and 507, Federal funds may not be expended for health benefits coverage that includes coverage of abortions, except when the abortion due to a pregnancy that is the result of rape or incest, or in the case where a woman suffers from a physical disorder, physical injury, including life-endangering physical conditions caused by or arising from the pregnancy itself that would, as certified by a physician, place the women in danger of death unless and abortion is performed. This restriction does not prohibit any non-Federal entity from providing health benefits coverage for abortions when all funds for that specific benefit do not come from a Federal source. Additionally, no funds made available through this award may be provided to a State or local government if such government subjects any institutional or individual health care entity to discrimination on the basis that the health care entity does not provide, pay for, provide coverage of, or refer for abortions.

#### **i. Restriction on the Promotion of Drug Legalization**

Pursuant to P.L. 114-113, Division H, Title V, Section 509, no Federal funds shall be used for any activity that promotes the legalization of any drug or other substance included in schedule I of the schedules of controlled substances established under section 202 of the Controlled Substances Act except for normal recognized executive-congressional communications or where the grant agreement provides for such use because there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance.

#### **j. Restriction on Purchase of Sterile Needles or Syringes**

Pursuant to P.L. 114-113, Division H, Title V, Section 520, no Federal funds shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug.

#### **k. Requirement for Blocking Pornography**

Pursuant to P.L. 114-113, Division H, Title V, Section 521, no Federal funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

#### **l. Prohibition on Providing Federal Funds to ACORN**

Pursuant to P.L. 114-113, Division H, Title V, Section 522, these funds may not be provided to the Association of Community Organizations for Reform Now (ACORN), or any of its affiliates, subsidiaries, allied organizations or successors.

### **15. Public Policy**

#### **a. Executive Orders**

**12928:** Pursuant to Executive Order 12928, the recipient is strongly encouraged to provide subcontracting/subgranting opportunities to Historically Black Colleges and Universities and other Minority Institutions such as Hispanic-Serving Institutions and Tribal Colleges and Universities; and to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals.

**13043:** Pursuant to Executive Order 13043, Increasing Seat Belt Use in the United States, dated April 16, 1997, recipients are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.

**13166:** As clarified by Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, dated August 11, 2000, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to programs in accordance with DOL's Policy Guidance on the Prohibition of National Origin Discrimination as it Affects Persons with Limited English Proficiency [05/29/2003] Volume 68, Number 103, Page 32289-32305. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities.

**13513:** Pursuant to Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, dated October 1, 2009, recipients and subrecipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or GOV, or while driving POV when on official Government business or when performing any work for or on behalf of the Government. Recipients and subrecipients are also encouraged to conduct initiatives of the type described in section 3(a) of this order.

For assistance and information regarding your LEP obligations, go to <http://www.lep.gov>.

## **b. Veteran's Priority Provisions**

The Jobs for Veterans Act (Public Law 107-288) requires recipients to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Recipients must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

## **c. Flood Insurance**

The Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4001 *et seq.*, provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within 1 year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DOL support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.

#### **d. Architectural Barriers**

The Architectural Barriers Act of 1968, 42 U.S.C. 4151 et seq., as amended, the Federal Property Management Regulations (see 41 CFR 102-76), and the Uniform Federal Accessibility Standards issued by GSA (see 36 CFR 1191, Appendixes C and D) set forth requirements to make facilities accessible to, and usable by, the physically handicapped and include minimum design standards. All new facilities designed or constructed with grant support must comply with these requirements.

#### **e. Drug-Free Workplace**

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 et seq., and 2 CFR 182 require that all organizations receiving grants from any Federal agency maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for suspension or debarment.

#### **f. Hotel-Motel Fire Safety**

Pursuant to 15 U.S.C. 2225a, the recipient must ensure that all space for conferences, meetings, conventions or training seminars funded in whole or in part with federal funds complies with the protection and control guidelines of the Hotel and Motel Fire Safety Act (P.L. 101-391, as amended). Recipients may search the Hotel Motel National Master List at <http://www.usfa.dhs.gov/applications/hotel/> to see if a property is in compliance, or to find other information about the Act.

#### **g. Prohibition on Trafficking in Persons**

##### **I. Trafficking in persons.**

##### *a. Provisions applicable to a recipient that is a private entity.*

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
  - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
  - ii. Procure a commercial sex act during the period of time that the award is in effect; or
  - iii. Use forced labor in the performance of the award or subawards under the award.
2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —
  - i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or
  - ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—
    - A. Associated with performance under this award; or
    - B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

b. *Provision applicable to a recipient other than a private entity.* We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—
  - i. Associated with performance under this award; or
  - ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

c. *Provisions applicable to any recipient.*

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
  - i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
  - ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

d. *Definitions.* For purposes of this award term:

1. “Employee” means either:
  - i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
  - ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
2. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
3. “Private entity”:
  - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
  - ii. Includes:
    - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
    - B. A for-profit organization.
4. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

**h. Buy American Notice Requirement**

None of the funds made available under this act may be expended by an entity unless the entity agrees that in expending the funds it will comply with sections 8301 through 8303 of title 41, United States Code (commonly known as the “Buy American Act”).

**i. Violation of the Privacy Act**

These funds cannot be used in contravention of the 5 USC 552a or regulations implementing that section.

**16. Attachments**

**Attachment A: SF-424**

**Attachment B: SF-424A**

**Attachment C: Budget Narrative**

**Attachment D: Statement of Work**

**Attachment E: Negotiated Indirect Cost Rate Agreement (if applicable)**

**Attachment A: SF-424**



Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text" value="05/13/2016"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>	
<b>State Use Only:</b>		
6. Date Received by State: <input type="text" value="05/13/2016"/>	7. State Application Identifier: <input type="text" value="UTG-160513010-ab"/>	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name: <input type="text" value="Utah Department of Workforce Services"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="87-6000545"/>	* c. Organizational DUNS: <input type="text" value="0379367590000"/>	
<b>d. Address:</b>		
* Street1: <input type="text" value="140 East 300 South"/>	Street2: <input type="text"/>	
* City: <input type="text" value="Salt Lake City"/>	County/Parish: <input type="text"/>	
* State: <input type="text" value="UT: Utah"/>	Province: <input type="text"/>	
* Country: <input type="text" value="USA: UNITED STATES"/>	* Zip / Postal Code: <input type="text" value="84145-0249"/>	
<b>e. Organizational Unit:</b>		
Department Name: <input type="text" value="Utah DWS"/>	Division Name: <input type="text" value="WDD P&amp;T"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix: <input type="text"/>	* First Name: <input type="text" value="Karla"/>	
Middle Name: <input type="text"/>	* Last Name: <input type="text" value="Aguirre"/>	
Suffix: <input type="text"/>	Title: <input type="text" value="WDD Program &amp; Training Director"/>	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="801-526-9724"/>	Fax Number: <input type="text" value="801-526-9239"/>	
* Email: <input type="text" value="kaguirre@utah.gov"/>		

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

**\* 10. Name of Federal Agency:**

Employment and Training Administration

**11. Catalog of Federal Domestic Assistance Number:**

17.285

**CFDA Title:**

Apprenticeship USA Grants

**\* 12. Funding Opportunity Number:**

TEGL-19-15

**\* Title:**

APPRENTICESHIPUSA STATE ACCELERATOR GRANTS FUNDING ANNOUNCEMENT

**13. Competition Identification Number:**

TEGL-19-15

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

Utah Apprenticeship Accelerator Grant

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="200,000.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="200,000.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes
- No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**


Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

 GREG PARIS FOR JON PIERPONT

**Attachment B: SF-424A**

**BUDGET INFORMATION - Non-Construction Programs**

OMB Number: 4040-0006  
Expiration Date: 01/31/2019

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Utah Apprenticeship Accelerator Grant	17.285	\$ <input type="text"/>	\$ <input type="text"/>	\$ 200,000.00	\$ <input type="text"/>	\$ 200,000.00
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5. <b>Totals</b>		\$ <input type="text"/>	\$ <input type="text"/>	\$ 200,000.00	\$ <input type="text"/>	\$ 200,000.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	Utah Apprenticeship Accelerator Grant				
<b>a. Personnel</b>	\$ 73,112.00	\$	\$	\$	\$ 73,112.00
<b>b. Fringe Benefits</b>	44,984.00				44,984.00
<b>c. Travel</b>	16,000.00				16,000.00
<b>d. Equipment</b>					
<b>e. Supplies</b>	10,000.00				10,000.00
<b>f. Contractual</b>					
<b>g. Construction</b>					
<b>h. Other</b>	5,000.00				5,000.00
<b>i. Total Direct Charges (sum of 6a-6h)</b>	149,096.00				\$ 149,096.00
<b>j. Indirect Charges</b>	50,904.00				\$ 50,904.00
<b>k. TOTALS (sum of 6i and 6j)</b>	\$ 200,000.00	\$	\$	\$	\$ 200,000.00
<b>7. Program Income</b>	\$ 0.00	\$	\$	\$	\$

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Prescribed by OMB (Circular A -102) Page 1A

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. Utah Apprenticeship Accelerator Grant	\$ 200,000.00	\$	\$	\$ 200,000.00	
9.					
10.					
11.					
<b>12. TOTAL (sum of lines 8-11)</b>	<b>\$ 200,000.00</b>	<b>\$</b>	<b>\$</b>	<b>\$ 200,000.00</b>	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 115,000.00	\$ 25,000.00	\$ 30,000.00	\$ 30,000.00	\$ 30,000.00
14. Non-Federal					
<b>15. TOTAL (sum of lines 13 and 14)</b>	<b>\$ 115,000.00</b>	<b>\$ 25,000.00</b>	<b>\$ 30,000.00</b>	<b>\$ 30,000.00</b>	<b>\$ 30,000.00</b>
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. Utah Apprenticeship Accelerator Grant	\$ 85,000.00	\$	\$	\$	
17.					
18.					
19.					
<b>20. TOTAL (sum of lines 16 - 19)</b>	<b>\$ 85,000.00</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges: See Budget Narrative		22. Indirect Charges: Cost Allocation Plan approved by HHS			
23. Remarks: The Utah Department of Workforce Services has an approved Cost Allocation Plan in place of an Indirect Cost Rate. This Plan is submitted to and approved by HHS on at least a yearly basis.					

**Attachment C: Budget Narrative**



# Utah Apprenticeship Accelerator Grant Budget Narrative

## **Personnel (\$73,112)**

The apprenticeship accelerator grant will help Utah build strategies for expanding and diversifying registered apprenticeship opportunities in Utah. The personnel budget for the Utah Department of Workforce Services (DWS) includes funding for .20 of a Full-Time Equivalent (FTE) position for the 24 month technical assistance time period. This .20 FTE is for a Program Specialist (\$62,400 annual salary). The Program Specialist will assist with training subject matter experts, employers and staff, apprenticeship strategic planning, coordinating with the State Workforce Development Board (SWDB), completing required grant documentation, outreach, coordinating technical assistance, and implementation.

The remaining personnel budget will be to support the apprenticeship expansion strategic planning by the State Workforce Development Board (SWDB) and Economic Service Areas (ESA). The strategic planning with the SWDB and ESAs will include the development and implementations of strategies to expand apprenticeships in targeted industries based on the hiring need in that service area. Planning will also include the role of education, employer, and community partners in the apprenticeship expansion at both the state and local area. The SWDB apprenticeship committee may participate in onsite visits with identified partners and provide recommendations for improvements to the strategic plans. These remaining personnel include a Program Manager at .15 FTE (\$72,800 annual salary), Economic Service Area Directors at .05 FTE (\$104,000 annual salary) and Workforce Development Specialists at .15 FTE (\$53,040 annual salary).

## **Fringe Benefits (\$44,984)**

An average of 62% of direct personnel wages and salaries is budgeted for fringe benefits. This percentage varies per DWS employee based on their chosen benefit package and amount of salaries. Benefits include health insurance, dental insurance, FICA, Medicare, retirement, 401K, life and long-term disability insurance, unemployment insurance and workers compensation insurance. Fringe Benefits are budgeted for the DWS Program Specialist (.20 FTE) and the remaining support personnel as indicated under Personnel above.

## **Travel (\$16,000)**

Travel costs include travel for training staff, employers and community partnership engagement, and subject matter expert training. Travel also include strategic partnership meetings, ApprenticeshipUSA Training, technical assistance consultation, partnership engagement, and technical assistance or peer-to-peer exchanges to learn more about expansion and diversification of apprenticeships. It is estimated that there will be 2-3 out-of-state trips with 2-3 staff at \$1,000 each trip for \$9,000 total. In-state travel is estimated at \$7,000 total. Final details regarding the trip requirements will need to be finalized as planning and needs are determined over the 24 month grant period.

## **Supplies (\$10,000)**

The budgeted amount will be used for outreach and education materials. These materials will help expand knowledge of the apprenticeship program with job seekers and employers, they will help with expanding the types of apprenticeships available in Utah. These costs are currently estimated amounts.

## **Other (\$5,000)**

The budgeted amount will be used for electronic, apprenticeship outreach and education to employers and job seekers.

**Indirect Costs (\$50,904)**

DWS utilizes a Cost Allocation Plan (in place of an Indirect Cost Rate) approved through our cognizant agency, the Department of Health and Human Services (HHS). The Cost Allocation Plan (CAP) describes cost pools and the methodology for allocating them rather than determining an indirect cost rate. These methodologies are then applied to actual costs. The CAP is amended when changes are made and has been approved by HHS (see attached CAP and approval letter). Cost allocation expenses are allocated based on FTE counts and have a direct correlation to personnel expenses. Costs in the CAP include management personnel, space, motor pool cars, communication, technology, computer, postage, supplies and other pooled expenses. See attachments for CAP approval and plan.

**TOTAL BUDGET (\$200,000)**

Budgeted amounts are estimates based on preliminary planning purposes. As the project proceeds and is solidified, budget amounts may change and will be updated with grant budget modifications.

**Attachment D: Statement of Work**

Statement of Work will include completion of the ApprenticeshipUSA Action Planning Tool, submission by 15 August, 2016 as indicated in the Special Conditions of this award, and subsequent submittal of a statement of work modification to incorporate the tool upon approval by the DOL Office of Apprenticeship.

# Grant and Cooperative Agreement

CHOOSE ONE:  
 COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER G16AC00359	2. SUPPLEMENT NUMBER	3. EFFECTIVE DATE 08/15/2016	4. COMPLETION DATE 08/14/2018
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5. ISSUED TO NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip) NATURAL RESOURCES, UTAH DEPARTMENT OF Attn: Jodi Patterson 1594 W NORTH TEMPLE # 3110 SALT LAKE CITY UT 84116-3154	6. ISSUED BY USGS NATIONAL GRANTS BRANCH <b>Mailing Address:</b> 205 NATIONAL CENTER 12201 SUNRISE VALLEY DRIVE RESTON VA 20192
---	--

7. TAXPAYER IDENTIFICATION NO. (TIN)	9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone) Janae Wallace 801-537-3387 jwallace@utah.gov
8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.	

10. RESEARCH, PROJECT OR PROGRAM TITLE  
See Schedule

11. PURPOSE  
New award

12. PERIOD OF PERFORMANCE (Approximately)  
08/15/2016 through 08/14/2018

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$0.00	PREVIOUS	\$0.00
THIS ACTION	\$34,919.57	THIS ACTION	\$34,919.57
CASH SHARE	\$0.00	<b>TOTAL</b>	\$34,919.57
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$69,839.14		
<b>TOTAL</b>	\$34,919.57		

14. ACCOUNTING AND APPROPRIATION DATA  
01

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020104514			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Daryll Pope		609-771-3933	dpope@usgs.gov
NEGOTIATOR				
ADMINISTRATOR	Sara Roser		703-648-7357	sroser@usgs.gov
PAYMENTS				

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
 Public Law 111-11 Sect 9507 CFDA: 15.980

17. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING PROVISIONS <input type="checkbox"/> FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT	18. APPLICABLE ENCLOSURE(S), IF CHECKED: <input checked="" type="checkbox"/> PROVISIONS <input checked="" type="checkbox"/> SPECIAL CONDITIONS <input checked="" type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS
---	--

<b>UNITED STATES OF AMERICA</b>	<b>COOPERATIVE AGREEMENT RECIPIENT</b>
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CONTRACTING/GRANT OFFICER Sherri Bredesen	DATE 08/14/2016	AUTHORIZED REPRESENTATIVE	DATE
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# Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
	<p>CFDA Number: 15.980  DUNS Number: 176871572  G16AC00359</p> <p>Issuing Office:  U.S. Geological Survey  Office of Acquisition and Grants  12201 Sunrise Valley Drive, MS 205  Reston, VA 20192  Sara Roser, Grant Specialist  Phone: (703) 648-7357  Email: srosler@usgs.gov</p> <p>USGS Program Officer:  Daryll Pope  USGS National Groundwater Monitoring Network  3450 Princeton Pike, Suite 110  Lawrenceville, NJ 08648  Phone: (609) 771-3933  Email: dpope@usgs.gov</p> <p>Principal Investigator:  Janae Wallace  Utah Geological Survey  P.O. Box 146100  Salt Lake City, Utah 84114  Phone: (801) 537-3387  Email: jwallace@utah.gov</p> <p>Budget Period: 8/15/2016 through 8/14/2018  Total Performance Period: 8/15/2016 through  8/14/2018  Legacy Doc #: UGS  Delivery Location Code: 0006465914  USGS Office of Groundwater  12201 Sunrise Valley Drive MS 411  Reston VA 20192 US</p> <p>Continued ...</p>				

# Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
00010	<p>Account Assignment: K G/L Account: 6100.411C0                      Business Area: G000 Commitment Item: 411C00 Cost Center: GGHWDA0000 Functional Area: G40500000.N90000 Fund: 167G0804MD Fund Center: GGHWDA0000 Project/WBS: GX.16.DA00.FY4CA.00 PR Acct Assign Line: 01                      Period of Performance: 08/15/2016 to 08/14/2018</p> <p>NGWMN - Utah Geological Survey                      Obligated Amount: \$34,919.57</p> <p>Title: "Request of Funding from the Utah Geological Survey to Provide Data to the National Groundwater Monitoring Network via the Utah Water Quality Database of Wells and Springs," dated May 24, 2016</p> <p>See Section 5(b)(2) of the Award Terms and Conditions for the Final Technical Report Due Date.</p> <p>The total amount of award: \$34,919.57. The obligation for this award is \$34,919.57.</p>				34,919.57



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION 8

1595 Wynkoop Street  
Denver, CO 80202-1129  
Phone 800-227-8917  
www.epa.gov/region8

July 18, 2016

Ref: 8EPR-EP

Dr. Rick Allis, Director  
Utah Geological Survey  
1594 West North Temple  
Salt Lake City, Utah 84114

Dear Dr. Allis:

The U.S. Environmental Protection Agency has completed its review of proposals submitted for the FY16 and FY17 Wetland Program Development Grants (WPDG). We are pleased to offer you a funding opportunity in the amount of \$198,173. Due to budget restraints this year and anticipated restraints for FY 2017, we took a 10% cut to all funded requested amounts. The amount offered to you takes the 10% cut from your original requested amount. Funds will be provided incrementally for your proposal entitled – Increasing Capacity to Evaluate Wetlands Through Hydrologic Investigation and Joint Wetland-Riparian Mapping (UT-5).

In order to begin funding your project immediately, we request that you complete and provide us with the required forms listed at <http://www.epa.gov/ogd/AppKit/application.htm>, under the “Applications for States, Local and Tribal Governments” section. A checklist of required forms can be found in the document entitled “Application Checklist Part 31.” Because the amount funded differs from the requested amount, you will also need to submit a revised SF424A. No other forms submitted as part of the required forms under the WPDG RFP need to be resubmitted. Please email completed versions of these forms to [R8grants@epa.gov](mailto:R8grants@epa.gov). If you have any questions regarding the application process, please contact Ryan Kloberdanz, Grants Specialist at (303) 312- 6078 or email at [Kloberdanz.Ryan@epa.gov](mailto:Kloberdanz.Ryan@epa.gov).

We will contact you by August 5, 2016 with the name of your assigned Project Officer. A revised work plan must to be approved, in writing, by the Project Officer prior to funds being released under this award unless pre-award costs are approved. A Quality Assurance Project Plan (QAPP) must also be approved, or included in an approved work plan, prior to grant funds being released if your project involves data collection or use. Information on the requirements for developing a QAPP can be found at <http://www2.epa.gov/region8/qa-reference-document-library>.





If you have questions or need additional information, please contact Cynthia Gonzales of my staff at (303) 312-6569 or email at [gonzales.cynthia@epa.gov](mailto:gonzales.cynthia@epa.gov). We look forward to the successful completion of your project.

Sincerely,

Karen Hamilton  
Acting Director  
Ecosystems Protection Program

- cc: Richard Emerson, Geologist  
Utah Geological Survey  
Jodi Patterson, Financial Manager  
Utah Geological Survey  
Ryan Kloberdanz, EPA Grants Specialist

In order to begin leading your project immediately, we request that you complete and provide us with the required forms listed in <http://www.epa.gov/wtdg> under the "Applications for State, Local and Tribal Government" section. A checklist of required forms can be found in the document entitled "Application Checklist Part 31." Because the amount funded differs from the requested amount, you will also need to submit a revised SF424A. No other forms submitted as part of the required forms under the WTDG RFP need to be resubmitted. Please email completed versions of these forms to [R8grants@epa.gov](mailto:R8grants@epa.gov). If you have any questions regarding the application process, please contact Ryan Kloberdanz, Grants Specialist at (303) 312-6078 or email at [Kloberdanz.Ryan@epa.gov](mailto:Kloberdanz.Ryan@epa.gov).

We will contact you by August 2, 2016 with the name of your assigned Project Officer. A revised work plan must be approved, in writing, by the Project Officer prior to funds being released under this award unless pre-award costs are approved. A Quality Assurance Project Plan (QAPP) must also be approved, or included in an approved work plan, prior to grant funds being released if your project involves data collection or use. Information on the requirements for developing a QAPP can be found at <http://www.epa.gov/wtdg/pa-reference-document-library>.

1. DATE ISSUED MM/DD/YYYY 07/22/2016 | 2. CFDA NO. 93.323 | 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
42 USC 241 31 USC 6305 42 CFR 52

1a. SUPERSEDES AWARD NOTICE dated  
except that any additions or restrictions previously imposed remain  
in effect unless specifically rescinded

4. GRANT NO. 5 NU50CK000372-03-00  
Formerly 3U50CK000372-02S1 | 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
From 03/31/2015 Through 07/31/2019

7. BUDGET PERIOD MM/DD/YYYY  
From 08/01/2016 Through 07/31/2017

8. TITLE OF PROJECT (OR PROGRAM)  
Utah's proposal for activities within the PPHF 2014 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) cooperative agreement.

9a. GRANTEE NAME AND ADDRESS  
Utah Department of Health  
288 N 1460 W  
Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
Ms. MELISSA DIMOND  
288 N 1460 W  
PO BOX 144003  
UTAH DEPT OF HEALTH  
SALT LAKE CITY, UT 84114-4003

10a. GRANTEE AUTHORIZING OFFICIAL  
Ms. Shai Watkins  
PO Box 142001  
Salt Lake City, UT 84114-2001  
Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
Janice Downing  
1600 Clifton Rd  
Atlanta, GA 30333  
Phone: 404-639-7808

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only <input type="checkbox"/>	
II Total project costs including grant funds and all other financial participation <input checked="" type="checkbox"/>	
a. Salaries and Wages .....	972,846.00
b. Fringe Benefits .....	585,579.00
c. Total Personnel Costs .....	1,558,425.00
d. Equipment .....	46,130.00
e. Supplies .....	166,203.00
f. Travel .....	40,953.00
g. Construction .....	0.00
h. Other .....	125,049.00
i. Contractual .....	743,299.00
j. TOTAL DIRECT COSTS →	2,680,059.00
k. INDIRECT COSTS	189,107.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>2,869,166.00</b>
m. Federal Share	2,869,166.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	2,869,166.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>2,869,166.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>9,719,615.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4		d. 7	
b. 5		e. 8	
c. 6		f. 9	

<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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.  
b. The grant program regulations.  
c. This award notice including terms and conditions, if any, noted below under REMARKS.  
d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

NOTE: CORRECT PROJECT/BUDGET PERIOD DATE S/B: 08/01/2014 TO 07/31/2019 AND BUDGET PERIOD 08/01/2016 TO 07/31/2017

GRANTS MANAGEMENT OFFICIAL: **Louvern Asante**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-9211388	b. 000372CK14	c. 93.323	d. CK	e. \$980,365.00	f. 75-16-0949
22. a. 6-939014P	b. 000372CK14	c. 93.323	d. CK	e. \$55,996.00	f. 75-16-0949
23. a. 6-939018B	b. 000372CK14	c. 93.323	d. CK	e. \$107,405.00	f. 75-16-0949

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/22/2016
GRANT NO. 5 NU50CK000372-03-00	

FY-ACCOUNT NO.	DOCUMENT NO.	CFDA.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 6-93901FW	b. 000372CK14	c. 93.323	d. CK	e. \$619,290.00	f. 75-16-0959
25.a. 6-93905VH	b. 000372CK14	c. 93.323	d. CK	e. \$254,126.00	f. 75-16-0949
26.a. 6-93906BV	b. 000372CK14	c. 93.323	d. CK	e. \$85,107.00	f. 75-16-0949
27.a. 6-93906FV	b. 000372CK14	c. 93.323	d. CK	e. \$64,143.00	f. 75-1519-0943
28.a. 6-939ZSCE	b. 000372CK14	c. 93.323	d. CK	e. \$177,429.00	f. 75-16-0951
29.a. 6-939ZSHD	b. 000372CK14	c. 93.323	d. CK	e. \$399,273.00	f. 75-16-0949
30.a. 6-939ZSHM	b. 000372CK14	c. 93.323	d. CK	e. \$47,410.00	f. 75-16-0949
31.a. 6-939ZSKR	b. 000372CK14	c. 93.323	d. CK	e. \$74,222.00	f. 75-16-0949
32.a. 6-939ZSLG	b. 000372CK14	c. 93.323	d. CK	e. \$4,400.00	f. 75-16-0949

# AWARD ATTACHMENTS

Utah Department of Health

5 NU50CK000372-03-00

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1. CK372Utah

Funding Opportunity Announcement (FOA) Number: RFA-CK14-1401PPHF14

Award Number: **CK000372-03**

Award Type: **Cooperative Agreement**

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number RFA-CK14-1401PPHF14, entitled PPHF 2016 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) – Building and Strengthening Epidemiology, Laboratory and Health Information Systems Capacity in State and Local Health Department, and application dated May 27, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$2,869,166** is approved for the Year 03 budget period, which is August 1, 2016 through July 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

**ZIKA funding:** Funding in the amount of **\$64,143** is approved to be used to support the current outbreak of ZIKA Virus; and, will also help more effectively detect and respond to future outbreaks.

**Note:** Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Budget Revision Requirement:** By September 15, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

**INDIRECT COSTS** Indirect costs are approved based on the Indirect Cost Rate Agreement dated January 26, 2010, which calculates indirect costs as follows, a Provisional is approved at a rate of 30.1% of the base, which includes, total direct costs excluding capital expenditures (buildings, individual items of equipment; alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The effective dates of this indirect cost rate are from July 10, 2010 thru until amended.

**COST LIMITATIONS AS STATED IN THE CONSOLIDATED APPROPRIATIONS ACT, 2014:**

A. Cap on Salaries (DIV. H, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under and HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. H, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Proper Use of Appropriations – Publicity and Propaganda (LOBBYING) FY2012 (Div. H, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in the Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant of contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restrictions on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at:

[http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtm](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm) and Anti Lobbying Restrictions for CDC Grantees at: [http://www.cdc.gov/od/pgo/funding/grants/Anti-lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/od/pgo/funding/grants/Anti-lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf).

D. Needle Exchange (Div. H, Title V, Sec. 522): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Restricts dealing with corporations with recent felonies (Div. E, Title VI, Sec 623): None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) or a felony criminal violation under and Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

**RENT OR SPACE COSTS:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply and 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; 2 CFR Part 225, Cost Principles for State, Local,

and Indian Tribal Governments (OMB Circular A-87); and 2 CFR Part 230, Cost Principles for Non-Profits Organizations (OMB Circular A-122). The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**TRAFFICKING IN PERSONS:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**CANCEL YEAR:** 31 U.S.C. 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed year appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

FY 2005 funds will expire September 30, 2010. All FY 2005 funds should be drawn down and reported to Payment Management System (PMS) prior to September 30, 2010. After this date, corrections or cash requests will not be permitted.

**ANNUAL FEDERAL FINANCIAL REPORT (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons no later 90 days after the end of the calendar quarter in which the budget period ends period. The FFR for this budget period is due to the GMS/GMO by **October 31, 2017**. Reporting timeframe is **August 1, 2016 through July 31, 2017**.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

FFR (SF-425) instructions for CDC Grantees are available at <http://grants.nih.gov/grants/forms.htm>. For further information, contact [GrantsInfor@nih.gov](mailto:GrantsInfor@nih.gov). Additional resources concerning the eFSR/FFR system, including a User Guide and an on-line demonstration, can be found on the eRA Commons Support Page: <http://www.cdc.gov/od/pgo/funding/grants/eramain.shtm>.

**PERFORMANCE REPORTING:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **April 1, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

**AUDIT REQUIREMENT:** An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System  
Electronic Submission:

[https://harvester.census.gov/facodes/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facodes/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Procurement & Grants Office, Risk Management & Compliance Activity  
Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, the National External Audit Review Center will provide audit resolution instructions. CDC will resolve findings by issuing Final Determination Letters.

The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements. The grantee must also ensure that appropriate corrective action is taken within six months after receipt of the sub-recipient audit report in instances of non-compliance with applicable Federal law and regulations (2 CFR 200 Subpart F and HHS Grants Policy Statement). The grantee may consider whether sub-recipient audits necessitate adjustment of the grantee's own accounting records. If a sub-recipient is not required to have a program-specific audit, the Grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee is to require each sub-recipient to permit independent auditors to have access to the sub-recipient's records and financial statements. The grantee must include this requirement in all sub-recipient contracts.

Note: The standards set forth in 2 CFR Part 200 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to A-133 (see Section\_205(h) and Section-.205(1)), a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use of future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards. For instructions of reporting please visit FFATA: [www.fsr.gov](http://www.fsr.gov).

**TRAVEL COST:** In accordance with Health and Human Services (HHS) Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the Notice of Award. To prevent disallowance of cost, grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantee approved policies must meet the requirements of 2 CFR Parts 200, 225 and 230, as applicable and 45 CFR Parts 74 and 92 as applicable.

**FOOD AND MEALS:** Costs associated with food or meals are allowable when consistent OMB Circulars and guidance, HHS Federal regulations, Program Regulations, HHS policies and guidance. In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantee. Grantee approved policies must meet the requirements of 2 CFR Parts 200, 225, and 230, as applicable and 45 CFR Parts 74 and 92 as applicable.

**PRIOR APPROVALS:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget



- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**KEY PERSONNEL:** In accordance with 2 CFR Parts 200.308 and 215.25(c)(2) & (3), CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document, and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**INVENTIONS:** Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR 401.14.

**PUBLICATIONS:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement FOA CK14-1401PPHF14 funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health Human Services.

**ACKNOWLEDGEMENT OF FEDERAL SUPPORT:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- Percentage of the total costs of the program or project which will be financed with Federal money dollar amount of Federal funds for the project or program, and
- Percentage and dollar amount of the total costs of the project or program will be financed by non-governmental sources.

**COPYRIGHT INTERESTS PROVISION:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipients agrees to submit into the National Institutes of Health (NIH) Manuscripts Submission (NIHMS) systems an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by

using the applicable NIHMS identification number for up to three (3) months after the publication date the PubMed Central identification number (PMCID) thereafter.

**DISCLAIMER FOR CONFERENCE/MEETING/SEMINARS MATERIALS:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, subgrant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**LOGO USE FOR CONFERENCE AND OTHER MATERIALS:** Neither the HHS nor the CDC logo may be displayed if such display would cause confusion as to the conference source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the Office of the Inspector General has authority to impose civil monetary penalties for violations (42 C.F.R. Part 1003). Neither the HHS nor the CDC logo can be used on conference materials, under a grant, cooperative agreement, and contract or co-sponsorship agreement without the expressed, written consent of either the Project Officer or the Grants Management Officer. It is the responsibility of the grantee (or recipient of funds under a cooperative agreement) to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**EQUIPMENT AND PRODUCTS:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with recipient policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures provided it observes provisions of the following sections in the Office of Management and Budget (OMB).

**FEDERAL INFORMATION SECURITY MANAGEMENT ACT (FISMA):** All information systems, electronic or hard copy which contain federal data need to be protected from unauthorized access. This also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of this data, subject to all applicable laws protecting security, privacy, and research. If and when information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

### **PILOT PROGRAM FOR ENHANCEMENT OF CONTRACTOR EMPLOYEE WHISTLEBLOWER**

**PROTECTIONS:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

#### **PAYMENT INFORMATION:**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Division of Payment Management, OS/ASAM/PSC/FMS/DPM  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/heip/help.aspx>

**Note:** To obtain the contact information of DPM staff within respective Payment Branches refer to the links listed below:

University and Non-Profit Payment Branch:

[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)

Governmental and Tribal Payment Branch:

[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/gov\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/gov_tribal.aspx?explorer.event=true)

Cross Servicing Payment Branch:

[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/cross\\_servicing.aspx](http://www.dpm.psc.gov/contacts/dpm_contact_list/cross_servicing.aspx)

International Payment Branch:

Bhavin Patel (301) 443-9188

Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

**Note:** Mr. Patel is the only staff person designated to handle all of CDC's international cooperative agreements.

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

US Department of Health and Human Services  
PSC/DFO/Division of Payment Management  
7700 Wisconsin Avenue – 10<sup>th</sup> Floor  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**PAYMENT MANAGEMENT SYSTEM SUBACCOUNT:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all new grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as a P Account. A "P" Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

The grant document number and subaccount title below must be known in order to draw down funds from the P Account.

Grant Document Number: 000372CK14  
Subaccount Title: CK141401ELCBUISTCA14

All awards funds must be tracked and reported separately. Funds must be used in support approved activities in the FOA and the approved application.

**ACCEPTANCE OF THE TERMS OF AN AWARD:** By drawing or otherwise obtaining funds from the grant payment system, the recipient acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**CERTIFICATION STATEMENT:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statement, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

**CLOSEOUT REQUIREMENTS:**

Grantees must closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit within 90 days after the last day of the final budget period. Reporting timeframe is **08/01/2014 through 07/31/2019**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work support in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**FINAL PERFORMANCE REPORT:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims
- Description of results (positive or negative) considered significant
- List of publications resulting from the project, with plans, if any, for further publication

**FINAL FEDERAL FINANCIAL REPORT (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted through eRA Commons no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any

unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Systems (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 2 CFR Parts 200.343 (Closeout), 225 and 230, the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**EQUIPMENT INVENTORY REPORT:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 2 CFR Parts 200, 215.37 or 2 CFR 215.71. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its right to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5000 that is no longer to be used in projects or program currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**FINAL INVENTION STATEMENT:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://www.hhs.gov/forms/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

**CDC ROLES AND RESPONSIBILITIES:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to close-out of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of the grant award including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective review are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants

- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business office of the recipient organization.

**GMO Contact:** See Staff Contact below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contact below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of the grants and cooperative agreement including:

- The development of the programs and FOAs to meet the CDC mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review or prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic and Technical Contact:**

Janice Downing, Project Officer  
Centers for Disease Control  
National Center for Epidemiology and Laboratory  
Capacity for Infectious Diseases (NCEZID)  
1600 Clifton Road, NE Mailstop: C18  
CLFT Bldg. 24, Cube 11111.5  
Atlanta, Georgia 30333  
Telephone: 404.639. 7808  
Fax: 404.235.1749  
Email: JSB3@cdc.gov

1. DATE ISSUED MM/DD/YYYY 03/25/2016  
 2. CFDA NO. 93.336  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Procurement and Grants Office**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 5 NU58DP006051-02-00  
 Formerly 1U58DP006051-01  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 03/29/2015 Through 03/28/2020

7. BUDGET PERIOD MM/DD/YYYY  
 From 03/29/2016 Through 03/28/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

8. TITLE OF PROJECT (OR PROGRAM)  
 Behavioral Risk Factor Surveillance System

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Mrs. Rachel Allred  
 288 North 1460 West  
 UTAH DEPT OF HEALTH  
 Salt Lake City, UT 84114-2101  
 Phone: 801-538-9466

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Gloria Colclough  
 4770 Buford Hwy.  
 Chamblee, GA 30341  
 Phone: 404-498-0512

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	138,723.00
b. Fringe Benefits .....	43,182.00
c. Total Personnel Costs .....	181,905.00
d. Equipment .....	0.00
e. Supplies .....	250.00
f. Travel .....	4,920.00
g. Construction .....	0.00
h. Other .....	13,995.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	201,070.00
k. INDIRECT COSTS	23,101.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>224,171.00</b>
m. Federal Share	224,171.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	224,171.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>224,171.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>492,054.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 3		d. 6	
b. 4		e. 7	
c. 5		f. 8	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Ebony Holt**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93900GA	b. 006051DP15	c. DP	d. \$196,537.00	e. 75-16-0959
22. a. 6-939ZRHM	b. 006051DP15	c. DP	d. \$27,634.00	e. 75-16-0947
23. a.	b.	c.	d.	e.



NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 03/25/2016
GRANT NO. 5 NU58DP006051-02-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Fringe Benefits	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Travel	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Equipment	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Supplies	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Contractual	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Construction	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
Other	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00
<b>Total</b>	\$ 0 . 00	\$ 0 . 00	\$ 0 . 00

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP006051-02-00

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1. Terms and Conditions
2. Technical Review

Funding Opportunity Announcement (FOA) Number: DP15-1513  
Award Number: U58 DP006051-02  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number **CDC-RFA-DP15-1513**, entitled **Behavioral Risk Factor Surveillance System (BRFSS)**, and application dated November 20, 2015 and revised budget submitted March 10, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$224,171** is approved for the Year 02 budget period, which is **March 29, 2016** through **March 28, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A written response to the weaknesses in these statements must be submitted to the CDC Project Officer as noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **April 29, 2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** Not applicable.

### FUNDING RESTRICTIONS AND LIMITATIONS

#### Funding Opportunity Announcement (FOA) Restrictions:

- Awardees may not use funds for research.
- Awardees may not use funds for clinical care.
- Awardees may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, awardees may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs is not allowed.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
  1. publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
  2. the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation,

appro priations, regulations, administrative action, or Executive order proposed or pending before any legislative body.

3. See <http://www.cdc.gov/grants/additionalrequirements/index.html#ar12> for detailed guidance on this prohibition and [additional guidance on lobbying for CDC awardees](#).

- The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Administrative Restriction(s):** Not Applicable.

**Programmatic Restriction(s):** Not Applicable.

**Indirect Costs:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as Fixed and is approved at a rate of 12.7% of the base which includes direct salaries and wages including all fringe benefits.

The effective dates of this indirect cost rate are from July 1, 2015 to June 30, 2016.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the

executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your grants management specialist (GMS) no later than 90 days after the end of budget period. The FFR for this budget period is due by **June 28, 2017**. Reporting timeframe is **March 29, 2016** through **March 28, 2017**.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **November 30, 2016**, and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:**

Domestic Organizations (*including US-based organizations implementing projects with foreign components*): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Procurement & Grants Office, Risk Management & Compliance Activity

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions

regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

### Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the

executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.



## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests by **November 30, 2016** or no later than 120 days prior to this budget period's end date. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **U58 DP006051**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the

official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project

Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower

protections. 3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

- (i) Relates to an activity of an element of the intelligence community; or
- (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

### 3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

### 3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available

through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human  
Services Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A "P Account" is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **006051DP15**  
Subaccount Title: **DP151513BRFSSHLTDP15**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is **March 29, 2015** through **March 28, 2020**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the Grants Management Specialist no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more.

The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Gloria Colclough, Project Officer  
Centers for Disease Control  
National Center for Chronic Disease Prevention & Health Promotion  
2500 Century City Parkway, M/S E-83  
Atlanta, GA 30345  
Telephone: 770-488-4454  
Fax: 770-498-0505  
Email: [gjc2@cdc.gov](mailto:gjc2@cdc.gov)

**Grants Management Specialist:**

Kathy Raible  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention  
2920 Brandywine Road, MS K-75  
Atlanta, Ga 30341  
[kcr8@cdc.gov](mailto:kcr8@cdc.gov) / 770-488-2045 office

**Grants Management Officer:**

Kang Lee  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention  
2920 Brandywine Road, MS K-75  
Atlanta, Ga 30341  
[Kil8@cdc.gov](mailto:Kil8@cdc.gov) / 770-488-2853 office



**Continuation Application  
Behavioral Risk Factor Surveillance System (BRFSS)  
DP-15-1513 CONT16**

National Center for Chronic Disease Prevention and Health Promotion (NCCDPHP)  
**Technical Review**

Awardee's Name: Utah Department of Health

Grantee #: NU58DP006051 Budget Year: March 29, 2016 – March 30, 2017

FOA #: DP15-1513

Title: Behavioral Risk Factor Surveillance System (BRFSS)

Grantee Funding Requests: \$ 307,334 Grantee Funding Recommended Award: \$ 224,171

**Summary of Major Strengths** (Please use numbered bullets):

1. All programs within the Bureau of Health Promotion and other external programs are represented in membership of the Advisory Committee.
2. Data and reports are downloaded quarterly and saved on the Utah Department of Health (UDOH) server and made available to staff and others as determined.
3. The BRFSS has been developed through collaboration and input from other programs and partners to ensure that the questionnaire would meet the needs of the greatest number of data users.
4. Utah has conducted successful meeting and collaboration of the Health Surveys Advisor Committee. This committee has proposed additional questions for the BRFSS in 2015 and voted on these submissions.
5. Throughout the funding cycle, the Utah BRFSS Program will continue to collect quality data, disseminate this data to programs and other partners, and will seek to enhance and expand the capacity of the BRFSS at the state level.
6. The BRFSS Coordinator will maintain the Utah State Health Surveys Advisory Committee and expand this committee membership as necessary. Members of the Ethnic Networks are now part of the committee.
7. The Utah BRFSS Program will continue to collect quality data, disseminate this data to programs and other partners, and will seek to enhance and expand the capacity of the BRFSS at the state level.
8. Utah has collected BRFSS data since 1984, and makes decades of data publicly available on a website and standard data requests.
9. Utah BRFSS is regularly used throughout the state health system for reports and provide an evidence base for public health programs and activities.
10. Project staff has many years of experience working with the BRFSS, as well as additional

experience with non-governmental telephone surveys.

**Summary of Major Weaknesses** (Please use numbered bullets):

**Recommendations** (List a recommendation for each weakness. Please use numbered bullets):

**Additional Program Guidance** (Please use numbered bullets):

Project Officer's Name:

Project Officer's Signature (mandatory):

Date:

Gloria J. Colclough  
2015  
(Print Name)

Gloria J. Colclough

01-08-

1. DATE ISSUED MM/DD/YYYY 08/24/2016 | 2. CFDA NO. 93.336 | 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
301(a) and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 241(a) and 247b(k)(2)], as amended.

1a. SUPERSEDES AWARD NOTICE dated 03/25/2016  
except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 6 NU58DP006051-02-01  
Formerly 1U58DP006051-01 | 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY  
From 03/29/2015 Through 03/28/2020

7. BUDGET PERIOD MM/DD/YYYY  
From 03/29/2016 Through 03/28/2017

8. TITLE OF PROJECT (OR PROGRAM)  
Behavioral Risk Factor Surveillance System

9a. GRANTEE NAME AND ADDRESS  
Utah Department of Health  
288 N 1460 W  
-DUP  
Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
Mrs. Rachel Allred  
288 North 1460 West  
UTAH DEPT OF HEALTH  
Salt Lake City, UT 84114-2101  
Phone: 801-538-9466

10a. GRANTEE AUTHORIZING OFFICIAL  
Mrs. Shari Watkins  
288 N 1460 W  
SALT LAKE CITY, UT 84116-3231  
Phone: 801-538-6936

10b. FEDERAL PROJECT OFFICER  
Gloria Colclough  
4770 Buford Hwy.  
Chamblee, GA 30341  
Phone: 404-498-0512

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <input type="checkbox"/>	
a. Salaries and Wages .....	138,723.00
b. Fringe Benefits .....	43,182.00
c. Total Personnel Costs .....	181,905.00
d. Equipment .....	0.00
e. Supplies .....	250.00
f. Travel .....	4,920.00
g. Construction .....	0.00
h. Other .....	107,523.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	294,598.00
k. INDIRECT COSTS	23,101.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>317,699.00</b>
m. Federal Share	317,699.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	317,699.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	224,171.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>93,528.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>585,582.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 3		d. 6	
b. 4		e. 7	
c. 5		f. 8	

<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<input type="checkbox"/> <b>b</b>
a.	DEDUCTION	
b.	ADDITIONAL COSTS	
c.	MATCHING	
d.	OTHER RESEARCH (Add / Deduct Option)	
e.	OTHER (See REMARKS)	

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
b. The grant program regulations.  
c. This award notice including terms and conditions, if any, noted below under REMARKS.  
d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Roslyn Curington, Grants Management Officer

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93900ZP	b. 006051DP15	c. 93.336	d. DP	e. \$18,000.00	f. 75-16-0948
22. a. 6-93906C0	b. 006051DP15	c. 93.336	d. DP	e. \$60,528.00	f. 75-16-0948
23. a. 6-93906UU	b. 006051DP15	c. 93.336	d. DP	e. \$15,000.00	f. 75-X-8250-001

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/24/2016
GRANT NO. 6 NU58DP006051-02-01	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NU58DP006051-02-01

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1. Terms and Conditions
2. Summary Statement

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: DP15-1513**  
**AWARD NUMBER: 6 U58 DP006051-02**  
**Revision 1**

**ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD**

**SUPPLEMENTAL FUNDS:** The purpose of this revised Notice of Award (NOA) is to authorize supplemental funds in the amount of \$93,528 for the period 8/30/2016 – 3/29/2017. The funds are distributed as follows:

Funds in the amount of \$78,528 are awarded for Component A to continue the activities awarded under this FOA.

Funds in the amount of \$15,000 are awarded for Component B, Family Planning Module to assess contraceptive use given the upcoming potential for local transmission of the Zika virus within the United States.

These funds are approved for the current budget period with no commitment for continued support in future budget periods.

**SUMMARY STATEMENT RESPONSE REQUIREMENT:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A written response to the weaknesses in these statements must be submitted to the CDC Project Officer. Failure to submit the required information by October 15, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**BUDGET REVISION REQUIREMENT:** By October 15, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

**PAYMENT MANAGEMENT SYSTEM SUBACCOUNT:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A "P Account" is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

**The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account. This P Account is for the Base award and Component A.**

**Total funds authorized under this subaccount: \$78,528**

**Grant Document Number: 006051DP15**  
**Subaccount Title: DP151513BRFSSHLTDP15**

**The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account. This P Account is for Component B.**

**Total funds authorized under this subaccount: \$15,000**

**Grant Document Number: 006051DP15**  
**Subaccount Title: DP151513ZIKACOAGFY16**

Please be advised that the grantee must exercise proper stewardship over Federal funds by ensuring that all cost charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

All other terms and conditions issued with the original Notice of Award remain in effect throughout the budget period unless changed, in writing, by the CDC Grants Management Officer.

PLEASE REFERENCE THE GRANT NUMBER ON ALL CORRESPONDENCE.

**Grants Management Specialist:**

Kathy Raible  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention  
2920 Brandywine Road, MS E-09  
Atlanta, Ga 30341  
Email: [kcr8@cdc.gov](mailto:kcr8@cdc.gov)  
Phone: 770-488-2045

**Grants Management Officer:**

Roslyn Curington  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention  
2920 Brandywine Road, MS E-09  
Atlanta, Ga 30341  
Email: [zlp8@cdc.gov](mailto:zlp8@cdc.gov)  
Phone: 770-488-2832

**Centers for Disease Control and Prevention  
Supplemental CDC/NCCDPHP/BRFSS Funding Opportunity Announcement (FOA)  
CDC-RFA-DP15-15130201SUPPPPHF16 Behavioral Risk Factor Surveillance System  
(BRFSS)  
CDC-RFA-DP15-1513**

**Summary Statement**

**Date Reviewed:** 7-19-16

**Grant Number:** NU58DP006051

**Applicant Organization:** UTAH Department of Health

**Funds Requested:** \$93,527

**Funds Recommended:** \$93,528

**Recommendation:** Approved

**Human Subjects Issues:** No

**Summary of the Project (provided by applicant)**

The Utah Department of Health (UDOH) has participated in the BRFSS as a departmental (in-house data collection) operation since its inception. Utah has the 2<sup>nd</sup> highest cell phone only households in the nation.

**Summary of Strengths**

- The Utah BRFSS Program will continue to collect quality data, disseminate this data to programs and other partners, and will seek to enhance and expand the capacity of the BRFSS at the state level.
- All programs within the Bureau of Health Promotion and other external programs are represented in membership of the Advisory Committee.
- Data and reports are downloaded quarterly and saved on the Utah Department of Health (UDOH) server and made available to staff and others as determined.

**Summary of Weaknesses / Concerns:** Coordinator has left on maternity leave. Her replacement will not be available until the middle of August.

**Budget:**

The budget is clearly explained, adequately justified, and is reasonable and consistent with the stated objectives and planned activities to some extent.

- Component A total (\$60,528)
- Component A: Sleep Disorder Module (\$18,000), increase sample size for the landline,



- Component B: Family Planning Module (\$15,000) for CY 2017.
- Component C: No plan to administer family planning module for 2016.

**Human Subjects Issues**

No research activities are planned.

**Recommendation(s):**

The applicant should address any issues of concern noted in the Weaknesses / Concerns or Budget Sections and / or as follows:

- Revised budget.
- By communicating with their BRFSS project officer once the NOA is forwarded.

1. DATE ISSUED MM/DD/YYYY 07/28/2016  
 2. CFDA NO. 93.283  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU58DP005360-03-00  
 Formerly 1U58DP005360-01  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/30/2014 Through 09/29/2019

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/30/2016 Through 09/29/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah Cancer Genomics Project

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Disease Control and Prevention  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Lynette Phillips  
 P.O. Box 142107  
 SALT LAKE CITY, UT 84114-2107  
 Phone: 801-537-7049

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Juan Rodriguez  
 4770 Buford Highway  
 Chamblee, GA 30341  
 Phone: 770-488-3086

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <b>I</b>	
a. Salaries and Wages .....	81,995.00
b. Fringe Benefits .....	52,251.00
c. Total Personnel Costs .....	134,246.00
d. Equipment .....	0.00
e. Supplies .....	2,944.00
f. Travel .....	7,968.00
g. Construction .....	0.00
h. Other .....	15,365.00
i. Contractual .....	182,500.00
j. TOTAL DIRECT COSTS →	343,023.00
k. INDIRECT COSTS	17,077.00
l. TOTAL APPROVED BUDGET	360,100.00
m. Federal Share	360,100.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	360,100.00
b. Less Unobligated Balance From Prior Budget Periods	10,108.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	349,992.00
13. Total Federal Funds Awarded to Date for Project Period	1,049,965.00

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4	349,992.00	d. 7	
b. 5	349,992.00	e. 8	
c. 6		f. 9	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a.	DEDUCTION	
b.	ADDITIONAL COSTS	
c.	MATCHING	
d.	OTHER RESEARCH (Add / Deduct Option)	
e.	OTHER (See REMARKS)	

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Brandis Belser

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZRBU	b. 005360DP14	c. 93.283	d. DP	e. \$349,992.00	f. 75-16-0948
22. a.	b.	c.	d.	e.	f.
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/28/2016
GRANT NO. 5 NU58DP005360-03-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP005360-03-00

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1. 5360 Terms and Conditions
2. 5360 technical

Funding Opportunity Announcement (FOA) Number: DP14-1407  
Award Number: 5 U58DP005360-03  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DP14-1407, entitled Enhancing Cancer Genomic Best Practices through Education, Surveillance and Policy, and application dated April 14, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$350,000 is approved for the Year 03 budget period, which is September 30, 2016 through September 29, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Use of Unobligated Funds:** This NoA includes use of Year 2015 unobligated funds in the amount of \$10,108, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year 2015. Federal Financial Report (FFR) dated 2015. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

### FUNDING RESTRICTIONS AND LIMITATIONS

#### Indirect Costs:

1. Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, Fixed is approved at a rate of 12.7% of the base, which includes,

Direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/AntiLobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/AntiLobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of

funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2020. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by December 31, 2017. Reporting timeframe is September 30, 2014 through September 29, 2019.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, June 30, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

In addition to the annual performance report, awardees must submit a Performance Measures and Financial Report as specified in the FOA.

## **Audit Requirement:**

Domestic Organizations (***including US-based organizations implementing projects with foreign components***): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

## **Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsr.gov](http://www.fsr.gov).

## Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not



include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on

any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

#### Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe; ○ Foreign public entity; ○ Domestic or foreign non-profit organization; ○ Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a nonFederal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

### **GENERAL REQUIREMENTS**

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by June 29, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, DP005360-03, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and

- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, subgrant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

- (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

### 3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

### 3.908-3 Policy.

- (a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.
- (b) Entities to whom disclosure may be made.
  - (1) A Member of Congress or a representative of a committee of Congress.
  - (2) An Inspector General.
  - (3) The Government Accountability Office.
  - (4) A Federal employee responsible for contract oversight or management at the relevant agency.
  - (5) An authorized official of the Department of Justice or other law enforcement agency.
  - (6) A court or grand jury.
  - (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.
- (c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

- (a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).
- (b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.
- (c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch: Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account:

Grant Document Number: **005360DP14**  
Subaccount Title: **DP141407ENHACANGEN14**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the

award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the budget period. Reporting timeframe is September 30, 2014 through September 29, 2019. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

A copy of the reports must be emailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following:

**Final Performance Report:** A copy must be emailed to the GMS. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further

publication. **Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be emailed to the GMO/GMS no later than 90 days after the end of the budget period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the budget period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** A complete inventory must be emailed to the GMS for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number,



acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** The Final Invention Statement must be emailed to the GMS. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO.

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS.

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Juan, Rodriguez

Division of Violence Prevention

National Center for Injury Prevention and Control, CDC

4770 Buford Hwy NE MS F-64, Chamblee, GA 30341

Office phone: 770-488-3086 email:

[fph4@cdc.gov](mailto:fph4@cdc.gov)

**Business Contact:**

LaKasa Wyatt, MPA

Grants Management Specialist

Centers for Disease Control and Prevention

Office of Financial Resources

Office of Grant Services

Chronic and Birth Defects Services Branch

2920 Brandywine Rd. (MS-E09)

Atlanta, GA 30341

Telephone: (770).488.2728

Email: [lgw5@cdc.gov](mailto:lgw5@cdc.gov)

**FY16 – Funding Opportunity Announcement DP14-1407**  
**Enhancing Cancer Genomic Best Practices through Education, Surveillance, and Policy**  
**Technical Review Form**

**Grantee:** Utah Department of Health – Cancer Control Program

**APPLICATION #:** **AMOUNT REQUESTED:** \$349,991.00

**REVIEWER'S NAME:** Juan Rodriguez

Juan L. Rodriguez -  
S

Digitally signed by Juan L. Rodriguez -S  
DN: c=US, o=U.S. Government, ou=HHS, ou=CDC,  
ou=People, 0.9.2342.19200300.100.1.1=2000233259,  
cn=Juan L. Rodriguez -S  
Date: 2016.05.13 12:19:22 -04'00'

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**SIGNATURE**

After a complete review of the DP14-1407 Year 02 APR and significant discussion with the Grantee regarding the Year 02 APR/Technical Review, the Grantee is to submit the following (check all that apply):

- **Revised Budget and Workplan**

Revised Budget and Workplan is needed due to significant reduction of proposed budget, which will affect the proposed activities. The revised budget and workplan should be reflective of the amount of the actual Notice of Award (NOA)

Revised Budget and/or Workplan is **NOT** needed

- **Revised Workplan**

Revised Workplan is needed due to - (provide reason(s)):

Revised Workplan is **NOT** needed

**Response to Technical Review**

The Recipient is asked to submit responses to the DP11-1114 Year02 weaknesses identified within 30 days. Responses should be reflective only of the weaknesses identified and not a resubmission of the entire application.

NO response to the Technical Review is needed.

**Summary of Major Strengths** (Please use bullets):

- The Genomics Program at the Utah Department of Health continues to develop and is in the process of conducting activities that will help meet program goals and objectives.
- Education activities have had a strong focus on outreach to medical providers.
- Surveillance activities have focused on questions on the state BRFSS survey, working with the state cancer registry and Utah population Database, and other state databases.
- Given staff turnover, good progress was made in year 2 of the grant
- Plans for year 3 of the cooperative agreement are ambitious and show innovation and a desire to grow. The planned activities are well described and show real growth for the program.
- Carryover request is appropriate and well justified.

**Summary of Major Weaknesses** (Please use bullets):

- No major weaknesses noted.

**Recommendations** (List a recommendation for each weakness. Please use bullets):

While no major weaknesses were noted, there are a few recommendations for the consideration of the Utah program:

- Exploring alternative surveillance systems – while a major strength the Utah program is the use of databases for surveillance, looking beyond these database systems and exploring the feasibility of other options may serve the program well. A particular option would be sharing data with genetics laboratories in the state to obtain raw frequencies of genetic testing for cancer in the state.
- Greater educational outreach for the general population – while the Utah program has worked to provide greater physician education, and has a wonderful website for the public, we would encourage the Utah program to explore the feasibility of a larger public education effort or campaign on family health history.



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

330 C Street, S.W. Washington DC 20201

September 16, 2016

Attorney General  
Office of the Utah Attorney General  
Children's Justice Division  
236 State Capital  
Salt Lake City, UT 84114

Dear Grantee:

This Children's Justice Act grant is available for expenditures made in accordance with Section 107 (a) through (f) of the Child Abuse Prevention and Treatment Act (CAPTA) (42 U.S.C. 5106c et seq.) as amended by Public Law 111-320 (Grants to States for Programs Relating to the Investigation and Prosecution of Child Abuse Cases). These funds must be obligated and liquidated by 12/30/2018. A negative grant award will be issued for any unobligated balances or unliquidated obligations reported as of 12/30/2018.

<b>Appropriation</b>	<b>CAN</b>	<b>Allotment</b>	<b>This Action</b>	<b>Cumulative</b>
75-X-5041016	2016G99CJ11	222,792	80,743	80,743
75-X-5041016	2016G99CJ16		142,049	142,049
<b>Total</b>				222,792

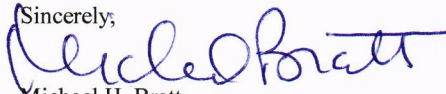
<b>EIN:</b>	1-876000545-G9	<b>Fiscal Year:</b>	2016
<b>Document Number:</b>	G-1601UTCJA1	<b>CFDA #:</b>	93.643

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Terms and conditions can be found at: [www.acf.hhs.gov/grants/terms-and-conditions](http://www.acf.hhs.gov/grants/terms-and-conditions). Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Matthew McMahon at (202) 205-8356 or [matthew.mcmahon@acf.hhs.gov](mailto:matthew.mcmahon@acf.hhs.gov).

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,  
  
Michael H. Bratt  
Acting Director, Division of Mandatory Grants

1. DATE ISSUED MM/DD/YYYY 06/08/2016  
 2. CFDA NO. 93.752  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU58DP003910-05-00  
 Formerly 3U58DP003910-03S1  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 06/30/2012 Through 06/29/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 06/30/2016 Through 06/29/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH DEPARTMENT OF HEALTH CANCER CONTROL PROGRAM

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Family Health and Preparedness  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Lynne Nilson  
 288 N 1460 W  
 Family Health & Preparedness  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-539-7049

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Patrice Kemp  
 4770 Buford Highway  
 Chamblee, GA 30341  
 Phone: 770-488-1074

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	884,841.00
b. Fringe Benefits .....	548,799.00
c. Total Personnel Costs .....	1,433,640.00
d. Equipment .....	0.00
e. Supplies .....	6,675.00
f. Travel .....	23,103.00
g. Construction .....	0.00
h. Other .....	92,280.00
i. Contractual .....	2,218,175.00
j. TOTAL DIRECT COSTS →	3,773,873.00
k. INDIRECT COSTS	52,487.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>3,826,360.00</b>
m. Federal Share	3,826,360.00
n. Non-Federal Share	1,123,394.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	3,826,360.00
b. Less Unobligated Balance From Prior Budget Periods	74,000.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>3,752,360.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>15,632,353.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 6		d. 9	
b. 7		e. 10	
c. 8		f. 11	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Merlin Williams**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-921Z1RU	b. 003910DP14	c. DP	d. \$3,189,923.00	e. 75-16-0948
22. a. 6-9390541	b. 003910DP14	c. DP	d. \$526,858.00	e. 75-16-0948
23. a. 6-939ZRBL	b. 003910DP14	c. DP	d. \$35,579.00	e. 75-16-0948

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 06/08/2016
GRANT NO. 5 NU58DP003910-05-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$2,345.44	\$2,345.44
<b>Total</b>	\$0.00	\$2,345.44	\$2,345.44

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP003910-05-00

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1. Utah YR 05 Terms and Conditions
2. Utah YR 05 Funding Spreadsheet
3. Utah YR 05 MLC Technical Review
4. Utah YR 05 NCCCP Technical Review
5. Utah YR 05 NBCCEDP Technical Review



Funding Opportunity Announcement (FOA) Number: DP12-1205

Award Number: 5 NU58DP003910-05-00

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DP12-1205, entitled Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations, and application dated February 26, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NOA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NOA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$3,826,358 is approved for the Year 05 budget period, which is June 30, 2016 through June 29, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Direct Assistance (DA):** DA is awarded in the amount of \$2,345 in this budget period.

**Use of Unobligated Funds:** This NOA includes use of Year 03 unobligated funds in the amount of \$74,000, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year 03 Federal Financial Report (FFR) dated September 30, 2015. The amount of this NOA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Budget Revision Requirement:** By **July 30, 2016** the grantee must submit a revised budget for **MLC** and **NCCCP**. In addition, a revised budget with a narrative justification are required for the following items:

#### **NCCCP – Component 2**

Supplies: Provide a justification for the use of each item and relate it to specific program objectives.

Other: Provide a justification for the use of each item and related to the specific program objectives.

#### **NBCCEDP – Component 3**

Supplies: Provide a justification for the use of each item and relate it to specific program objectives.

Other: Provide a justification for the use of each item and related to the specific program objectives.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

The budget justification must be prepared in the general form, format, and to the level of detail as described in the Guidance. The sample budget guidance is provided on CDC's internet at: [www.cdc.gov/grants/documents/budget\\_preparation\\_guidelines\\_8-2-12.docx](http://www.cdc.gov/grants/documents/budget_preparation_guidelines_8-2-12.docx)

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## FUNDING RESTRICTIONS AND LIMITATIONS

**Funding Opportunity Announcement (FOA) Restrictions:** Funding restrictions noted in CDC FOA DP12-1205 and DP12-120504PPHF2015 remain firm and in full effect.

**Indirect Costs:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Fixed is approved at a rate of 12.7% of the base, which includes, direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2015 to June 30, 2016.

### Matching Funds Requirement:

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The grantee may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

**Administrative Cost. NBCCEDP:** As specified by PL 101-354, not more than 10% of cooperative funds awarded may be spent annually for administrative expenses. These administrative expenses are in lieu of and replace indirect costs [Section 1504(f) of the PHS Act, as amended]. Administrative costs in the amount of \$0 are awarded and incorporated in Federal Cost Category "Other".

**NCCCP:** Cost sharing funds are encouraged in an amount not less than ten percent of Federal funds awarded under this program. Cost sharing funds may be cash, in-kind, or donated services or equipment. Contributions may be made directly or through donations from public or private entities. Public Law 93-638 authorizes tribal organizations contracting under the authority of Title 1 to use funds received under the Indian Self-Determination Act as cost sharing funds. The encouraged level of Non-Federal financial participation is **\$60,086**. This amount represents the encouraged ratio of cost sharing. The amount reflected on this Notice of Award, **\$65,828** is the amount reflected in your submitted budget and **exceeds** the encouraged ratio of cost sharing. Therefore, **\$60,086** is reflected on Page 2, Section 1 of this Notice of Award as the "Non-Federal Share".

CFDA: 93.283

**NBCCEDP:** To maintain the \$3:\$1 Non-Federal Match required by Public Law 101-354, the level of Non-Federal financial participation is **\$1,063,308**. This amount is the required ratio of cost sharing. The amount reflected on

this Notice of Award, **\$1,106,109**, is the amount reflected in your submitted budget and exceeds the required ratio of cost sharing. Therefore, **\$1,063,308**, is reflected on Page 2, Section 1 of this Notice of Award as the “Non-Federal Share”.

Title 48 of the U.S. Code 1469a (d) requires DHHS to waive matching fund requirements for Guam, U.S. Virgin Islands, American Samoa and the Commonwealth of the Northern Mariana Islands up to \$200,000.

CFDA: 93.752

Please note that the match amount depicted on the attached NCA is the amount reflected in your application. In order for the Office of Grants Service to adjust match to appropriately reflect the required amount of non-Federal financial participation, the recipient is required to furnish revised match documentation that is proportionate to the amount of federal funds received. After receipt of revised match documentation, OGS will issue an amended Notice of Cooperative Agreement Award. When the grantee is not able to meet the required level of matching funds, the CDC must be notified immediately. CDC shall reduce the amount of the Federal share of cooperative agreement so that the maximum Federal share of total project costs is not exceeded.

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The grantee may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

**Maintenance of Effort (MOE) Requirement:** MOE represents an applicant/grantee historical level of contributions related to Federal programmatic activities which have been made prior to the receipt of Federal funds “expenditures (money spent).” MOE is used as an indicator of non-federal support for public health security before the infusion of Federal funds. These expenditures are calculated by the grantee without reference to any Federal funding that also may have contributed to such programmatic activities in the past. Awardees must stipulate the total dollar amount in their grant applications. Grantees must be able to account for MOE separately from accounting for Federal funds and separately from accounting for any matching funds requirement; this accounting is subject to ongoing monitoring, oversight, and audit. MOE may not include any matching funds requirement.

**NBCCEDP MOE: \$489,500**

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat

the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by **September 30, 2017**. Reporting timeframe is June 30, 2016 through June 29, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

### **Audit Requirement:**

Domestic Organizations (***including US-based organizations implementing projects with foreign components***): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Electronic Copy to:

[OGS.Audit.Resolution@cdc.gov](mailto:OGS.Audit.Resolution@cdc.gov) (CDC Office of Grants Services)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

***This paragraph applies to both Domestic and Foreign organizations. Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies:*** The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

### **Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

### Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and

subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and

- o \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
- o The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - o Governmental organization, which is a State, local government, or Indian tribe;
  - o Foreign public entity;
  - o Domestic or foreign non-profit organization;
  - o Domestic or foreign for-profit organization;
  - o Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - o Salary and bonus
  - o Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in

accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

- Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- Above-market earnings on deferred compensation which is not tax-qualified.
- Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by **February 28, 2017** or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37



CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 5 NU58DP003910, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations

(42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

### 3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

### 3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services

P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “**P Account**”. A “P Account” is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

**Grant Document Number: 003910DP14**  
**Subaccount Title: DP121205CANPREVPRO14**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable

HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is **June 30, 2012** through **June 29, 2017**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book.

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

### **Programmatic Contact(s):**

#### **MLC and NCCCP**

Lumbe Davis, Project Officer  
Telephone: 770) 488-3059  
Email: [lqd7@cdc.gov](mailto:lqd7@cdc.gov)

#### **NBCCEDP**

Patrice Kemp, Project Officer

Telephone: 770) 488-3026

Email: [pik0@cdc.gov](mailto:pik0@cdc.gov)

**OGS Contact(s):**

Patricia French

Grants Management Officer (GMS/GMO)

Office of Grants Services (OGS)

Office of Financial Resources (OFR)

Office of the Chief Operating Officer (OCOO)

Centers for Disease Control and Prevention (CDC)

Email: [pff6@cdc.gov](mailto:pff6@cdc.gov)

Telephone: 770-488-2849

Merlin J. Williams

Team Leader, Grants Management Officer

Office of Grants Services (OGS)

Office of Financial Resources (OFR)

Office of the Chief Operating Officer (OCOO)

Centers for Disease Control and Prevention (CDC)

Email: [mqw6@CDC.GOV](mailto:mqw6@CDC.GOV)

Telephone: 770-488-2851 Office

Federal Cost Categories	MLC	NCCCP	NCCCP	NCCCP	NBCCEDP	NBCCEDP	Year 05 Budget
				Programmatic Encouraged Cost Share: 10%		Match 3:1	
Salaries and Wages	\$19,885	\$245,414	\$0	\$619,542	\$0	\$884,841	
Fringe Benefits	\$11,022	\$136,301	\$0	\$401,476	\$0	\$548,799	
Supplies	\$0	\$2,175	\$0	\$4,500	\$0	\$6,675	
Equipment	\$0	\$0	\$0	\$0	\$0	\$0	
Travel Costs	\$0	\$8,084	\$0	\$15,019	\$0	\$23,103	
Other Costs	\$263	\$26,016	\$0	\$66,001	\$0	\$92,280	
Consortium/Contractual Cost	\$400	\$134,390	\$0	\$1,956,716	\$0	\$2,091,506	
Consultant	\$0	\$0	\$0	\$0	\$0	\$0	
<b>Total Direct Costs</b>	<b>\$31,570</b>	<b>\$552,380</b>	<b>\$0</b>	<b>\$3,063,254</b>	<b>\$0</b>	<b>\$3,647,204</b>	
<i>Indirect Costs</i>	<i>\$4,009</i>	<i>\$48,478</i>	<i>\$0</i>	<i>\$126,669</i>	<i>\$0</i>	<i>\$179,156</i>	
	<b>\$35,579</b>	<b>\$600,858</b>	<b>\$0</b>	<b>\$3,189,923</b>		<b>\$3,826,360</b>	
<b>Non-Federal Share Requirement</b>	\$0	\$0	\$0	\$0	1,063,308	\$1,063,308	
<b>Programmatic Encouraged Cost Share</b>	\$0	\$0	\$60,086	\$0	\$0	\$60,086	
<b>Total Approved Budget</b>	<b>\$35,579</b>	<b>\$600,858</b>	<b>\$60,086</b>	<b>\$3,189,923</b>	<b>\$1,063,308</b>	<b>\$3,886,446</b>	

Direct Assistance (DA) Provided (SAS Software) - \$1,172 - \$1,173 - \$2,345  
Non-Federal Share Provided: - - \$1,106,109 \$1,106,109  
Non-Federal Share Required: - - - \$1,063,308 \$1,063,308  
Excess Non-Federal Share: - - - \$42,801 \$42,801

Programmatic Encouraged Cost Share Provided: - - \$65,828 - \$65,828  
Programmatic Encouraged Cost Share: - - \$60,086 - \$60,086  
Excess Encouraged Cost Share: - - \$5,742 - \$5,742

**Note 1:** NBCCEDP - Required Match: \$1,063,308 Provided: \$1,106,109 Excess: \$42,801  
**Note 2:** NBCCEDP MOE: \$489,500



**FY 2016 – Funding Opportunity Announcement DP12-1206  
Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations  
Annual Performance Report  
Technical Review Form**

Grantee's Name: Utah

Grantee #: U58/CCU003910-05

Component: #1  MLC      #2  NCCCP      #3  NBCCEDP      #4  
 NPCR  
#5  Innovative

**SAS License Requests:**      Amount of DA recommended/approved \$ n/a

Technical Reviewer's Name: Lumbé Davis

Signature: *Lumbé Davis*      Date: March 10, 2016

After a complete review of the DP12-1205 Year 05 APR and discussion with the Grantee regarding the Year 05 IPR/Technical Review, the Grantee is to submit the following (check all that apply):

• **Response to Technical Review**

The Recipient must respond to the major weaknesses cited within 30 days. Responses should be submitted to the assigned CDC Project Officer and should be reflective only of the weaknesses identified, not a resubmission of the entire application.  
 **NO** response to Technical Review is needed.

• **Revised Budget and Workplan**

Revised Budget and Workplan is needed due to significant reduction of proposed budget, which will affect the proposed activities. The revised budget and workplan should be reflective of the amount of the actual Notice of Award (NGA).  
 Revised Budget and Workplan is **NOT** needed.

• **Revised Workplan**

Revised Workplan is needed due to -- provide reason(s):  
\_\_\_\_\_

Revised Workplan is **NOT** needed.

• **Revised Budget**

Revised Budget is needed due to -- provide reason(s):  
\_\_\_\_\_

Revised Budget is **NOT** needed.

**Summary of Major Strengths** (Please use bullets):

- The cancer programs are working together to develop and implement three projects to increase population-level screening prevalence. These special projects will use policy and systems level approaches, organized screening programs, quality assurance, and targeted communication and outreach efforts, and are on track to be established by the end of the current budget year.
- The cancer programs are working within the health department to strengthen its infrastructure and workforce development. For example, managers of the cancer programs participate in a workgroup to improve health department hiring practices.
- Cancer program staff have provided leadership, training, and expertise on policy, systems, and environmental strategies to the rest of the Bureau of Health Promotion (Bureau) and have helped implement the Bureau's chronic disease plan.

**Summary of Major Weaknesses** (Please use bullets):

None noted.

**Recommendations:**

None.

**Research Determination – DP12-1205** is only for non-research activities supported by CDC. For the definition of research, please see the CDC Web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>

No research activities have been proposed

Research activities have been proposed, but were disapproved/disallowed

## Reviewer Comments

### **Progress towards Objectives:**

#### Program Leadership, Management

- Planning, implementation, and evaluation activities across all cancer programs (B&C, CCC, Genomics, and BeWise) are coordinated. Program and clinical staff meet on a monthly basis. Each week, the cancer program epidemiologists meet for the purposes of reducing duplication of efforts, sharing relevant updates, and leveraging resources and expertise.
- The cancer programs collaborate within the Bureau with other chronic disease and risk-factor related programs such as worksite wellness and tobacco control.

#### Enhanced Use of Surveillance Data

- Twice a year, the cancer programs conduct data exchange with the cancer registry to verify screening and diagnosis data for women seen by the B&C program.
- Cancer registry data has been used to develop the latest version of the state cancer plan and was essential in prioritizing plan activities.
- Cancer registry data was used to update several online cancer indicator reports, including those for breast, cervical, colorectal, lung, and skin cancer. Select data from these indicator reports were included in the legislative Public Health Outcomes Measures Report.
- Cancer registry data is also used for other surveillance activities and reports, including one on cancer survivorship in the state (pages 4-5).

#### Promotion of Populations-Based Cancer Screening

- The cancer programs are collaborating to develop and administer a survey to identify health systems which might partner with the health department to implement evidence-based approaches to population care, including population-level cancer screenings.
- Cancer program epidemiologists update population-level breast, cervical, and colorectal cancer screening, mortality, and incidence reports annually and share them publicly through an online health indicator system.
- Health department staff are currently partnering with a local health system to access population-based data, including cancer screening data. The purpose of this pilot project is to improve reporting on key data indicators; implement or improve quality assurance and quality improvement; and implement best practices for chronic disease prevention and control, including cancer screenings (page 6).

#### Coordination of Cancer Program Activities with Existing Cancer Coalition

- Cancer program managers serve in coalition leadership roles. Staff attend 100% of coalition meetings and provide intensive programmatic and logistical coordination (page 7).
- There is no indication in the report regarding education of coalition stakeholders on PSE's. However, PSE's are addressed in coalition meetings (monthly call notes).

#### Alignment of Cancer Programs with Cancer Control Plan

- Each cancer program participates in Bureau working groups designed to support implementation of and revisions to the state Coordinated Chronic Disease and Health Promotion State Plan. Workgroup activities address improving Bureau infrastructure and health communications, as well as the CDC chronic disease domains and priorities, including community-clinical linkages and policy, systems, and environmental approaches (page 8).
- There is no indication in the report regarding alignment of individual cancer programs with the state cancer plan. However, staff across the various cancer programs provided input into the latest version of the plan, due to be released in January 2016 (monthly call notes).

### **Proposed Objectives:**

#### Program Leadership, Management

- Maintain strong and coordinated leadership across cancer programs through participation in meetings and workgroups internal to the agency (page 1).
- Leverage and engage key partners and organizations in a coordinated fashion through collaboration with the cancer coalition and voluntary organizations (page 1).
- Maintain staffing and training activities to strengthen collaboration across the cancer programs to address all five MLC recipient activities (page 1).
- Continue to coordinate PSE approaches across cancer programs and among other chronic disease and health promotion programs (page 1).

#### Enhanced Use of Surveillance Data

- Maintain a contract with the cancer registry to support data exchange and linkages (page 1).
- Continue to use cancer registry data to create or update three documents and presentations to inform public policy, influence the selection, and measure the success of interventions (page 2).
- Continue to update coordinated surveillance plans that address the burden of chronic disease, injury, and health disparities (page 2).

#### Promotion of Populations-Based Cancer Screening

Participate in three coordinated projects to increase population-level screening rates to include policy and health systems approaches, quality assurance, and targeted media efforts (page 2).

#### Coordination of Cancer Program Activities with Existing Cancer Coalition

Document cancer program staff engagement in the cancer coalition through activities such as staff support for the coalition, grantee leadership serving on the coalition executive committee, and liaising through the agency's coordinated chronic disease program to interface with other chronic disease coalitions (page 3).

#### Alignment of Cancer Programs with Cancer Control Plan

Continue to participate in a strategic planning and implementation process to align the cancer programs' work with the state cancer plan (page 3).

**Other Relevant Comments:**

None.

**Itemized Budget:**

The budget is reasonable and is linked to the goals and objectives of the Year Five action plan.

**SAS License Requests:**

- 2016 (YR05) SAS License Requests, requested in Oct 2015, were properly reflected as direct assistance (DA) in the line-item budget and justification.
- The 2016 (YR05) budget request included the same number of licenses received and were reflected for the correct component(s).

**Amount of DA recommended/approved \$ n/a**  
**(Transfer amount to front page)**

**FY 2016 – Funding Opportunity Announcement DP12-1205  
Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations  
Annual Performance Report  
Technical Review Form**

Grantee's Name: Utah

Grantee #: U58/CCU003910-05

Component: #1 \_\_\_MLC #2 X NCCCP #3 \_\_\_NBCCEDP #4 \_\_\_NPCR  
#5 \_\_\_Innovative

**SAS License Requests:**      Amount of DA recommended/approved \$ 1173

Technical Reviewer's Name: Lumbé Davis

Signature: *Lumbé Davis*      Date: March 21, 2016

After a complete review of the DP12-1205 Year 05 APR and discussion with the Grantee regarding the Year 05 IPR/Technical Review, the Grantee is to submit the following (check all that apply):

• **Response to Technical Review**

\_\_\_ The Recipient must respond to the major weaknesses cited within 30 days. Responses should be submitted to the assigned CDC Project Officer and should be reflective only of the weaknesses identified, not a resubmission of the entire application.  
X NO response to Technical Review is needed.

• **Revised Budget and Workplan**

\_\_\_ Revised Budget and Workplan is needed due to significant reduction of proposed budget, which will affect the proposed activities. The revised budget and workplan should be reflective of the amount of the actual Notice of Award (NGA).  
X Revised Budget and Workplan is NOT needed.

• **Revised Workplan**

\_\_\_ Revised Workplan is needed due to -- provide reason(s):  
\_\_\_\_\_

X Revised Workplan is NOT needed.

• **Revised Budget**

\_\_\_ Revised Budget is needed due to -- provide reason(s):  
\_\_\_\_\_

X Revised Budget is NOT needed.

**Summary of Major Strengths** (Please use bullets):

- During the reporting period, the 2016-2020 version of the state cancer plan was nearly finalized.
- Four organizations were funded to implement four PSE approaches outlined in the 2010-2015 state cancer plan. The approaches were to increase access to and opportunities for healthy eating and active living, as well as improved quality of life for cancer survivors.

**Summary of Major Weaknesses** (Please use bullets):

- Critical evaluation activities still have not occurred.
- The type of evidenced-base has not been indicated for certain interventions.

**Recommendations:**

- Implement the latest version of the evaluation plan to ensure that evaluation of the program, plan, and partnership takes place.
- In the Chronic Disease Management Information System (CDMIS), indicate the evidenced-base for selected interventions.

**Research Determination – DP12-1205** is only for non-research activities supported by CDC. For the definition of research, please see the CDC Web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>

No research activities have been proposed

Research activities have been proposed, but were disapproved/disallowed

## Reviewer Comments

### Progress towards Objectives:

#### Program Management:

- The program manager has been in place between 10/1/15-2/27/16 and he works collaboratively with other chronic disease programs and partners (AO 1.1.6, 4.1.4).
- The 1.0 FTE PSE specialist is in place and she is leading several PSE efforts, including:
  - Built environment
  - Joint use agreements
  - Active transportation
  - Healthy food access through farm to community/ school initiatives
  - Screenings through worksite PSE change (budget narrative, 2015 site visit report, monthly TA calls).
- The program has a 1.0 FTE evaluator and he is leading efforts to conduct evaluations of the clinic flow project, the coalition, the state cancer plan and survivorship self-management (AO 4.1.1, 4.1.5, 5.2.1, 5.4.5, 6.1.1, 6.1.2, 6.1.4, 6.1.5, 6.1.6, 6.1.7, 6.1.8).
- Program staff has participated in training activities (AO 1.1.4, monthly TA calls).
- All required documents except an evaluation report were submitted.
- Training activities were provided to coalition members to build their capacity to develop the new state cancer plan (AO 1.1.5).
- A radon gas media campaign and a press release announcing the new state cancer plan will be implemented/distributed in the *second* half of the budget year (AO 1.1.7 and 1.1.8).

#### Fiscal Management

- Only about 24% of funding goes to local implementation, however the sub-awards are for PSE approaches (budget narrative).
- Contracts or memorandums of understanding (MOU)s are established with all funded local partners (AO 2.1.2).
- Partners are responsible for cancer plan implementation and leaders are engaged (budget narrative, AO 4.1.6, 5.1.1).
- The program manager receives monthly expenditure reports and with the fiscal coordinator, tracks expenditures (AO 2.1.3).

#### Use of Cancer Surveillance Data

- Progress is underway for an evaluation activity to assess cancer burden report's quality, accuracy, and representativeness. Specifically, an evaluation is being conducted on how to best use and improve the *Small Area Report* (AO 3.1.1).
- Surveillance data is used throughout the cancer plan (2016-2020 cancer plan).
- The project period objectives in the action plan use Vital Statistics, U.S. Census Bureau, Behavioral Risk Factor Surveillance System (BRFSS), and a Prevention Needs Assessment.
- At least one surveillance presentation a year is given to the general Utah Cancer Action Network (UCAN) members to keep them aware of current state trends in cancer (monthly call notes).



### Support, Collaborate and Coordinate with Existing Cancer Coalition

- The coalition is comprised of populations that experience health disparities, including African American and Pacific Islanders. Other cancer programs and the WISEWOMAN, and Tobacco programs are also represented.
- The coalition helped to draft the latest version of the state cancer plan, is involved in plan implementation, and is listed as one of the partners responsible for evaluating the plan (monthly TA call notes, 2010-2015 cancer plan, 2016-2020 cancer plan, 2015-2016 evaluation plan).
- The coalition used the Cancer Plan Assessment Tool as part of the process of writing the 2016-2020 state plan (monthly TA call notes).
- A partnership assessment is scheduled for the end of the current budget year.

### Maintain, Implement, and Periodically Revise a Comprehensive Cancer Control Plan

- Skin cancer, physical activity, and lung cancer (tobacco and radon) are the primary prevention coalition strategies in the cancer plan (2016-2010 cancer plan).
- There is a secondary prevention strategies regarding number of state residents who receive recommended cancer screenings (Cancer Screening section of 2016-2020 cancer plan).
- For tertiary prevention, there is a whole section of the cancer plan devoted to survivorship and quality of life (Survivorship and Quality of Life section of 2016-2020 cancer plan).
- The cancer plan contains relevant surveillance data from SEER, Vital Records and Statistics, CDC and BRFSS (Overview of Cancer Burden section of 2016-2020 cancer plan).
- Populations that experience cancer disparities are described throughout the plan. In addition, there is a section of the plan that describes the interaction between health disparities and social determinants of health, and briefly outlines strategies to achieve health equity (2016-2020 cancer plan).
- There is implementation of two project period objectives (PPOs) that addresses healthy eating and active living focusing on environmental strategies to increase active transportation such as biking and walking and increasing access to healthy foods (PPO 5.7 & 5.8).
- There is implementation of one PPO (5.4) that addresses cancer survivorship among adolescents and young adults.
- An expansion of a clinic workflow pilot project to increase colorectal cancer screening should be completed by the end of the budget year. A pilot project to increase breast cancer screening rates is due to be completed by the end of the current budget year (PPO 5.2 & 5.5).

### Demonstrate Outcomes through Evaluation to Improve Program Performance

- A new evaluation plan was developed to coincide with the launch of the 2016-2020 State Cancer Plan and it addresses the partnership, the plan, and the program. However, the program didn't submit an evaluation report for the current evaluation plan to indicate that it has been implemented (2015-2016 Evaluation Plan).
- The evaluation plan does not specifically mention survivorship activities, but progress is reported for synthesizing and analyzing data sources from SEER\*Stat, BRFSS, academic

- literature, and reports for a special survivorship evaluation project (AO 6.1.6).
- There are evaluation questions that ask about the impact of PSE approaches (2015-2016 evaluation plan).

### **Proposed Objectives:**

#### Program Management:

- The proposed action plan aligns with CDC/NCCCCP priorities and the objectives are written in the SMART format (action plan in continuing application).
- The action plan has appropriate project period and annual objectives for program management (PPO 1.1).

#### Fiscal Management

- The action plan has appropriate project period and annual objectives for fiscal management (PPO 2.1).
- The contractor line item has all six required elements (budget narrative).
- Cost share documentation is provided as an addendum to the budget justification (budget narrative).

#### Use of Cancer Surveillance Data

- Appropriate baselines and targets are set for project period objectives (CDMIS, Action Plan tab).
- There are two objectives describing how surveillance data will be used (AO 3.1.1, 5.1.3).

#### Support, Collaborate and Coordinate with Existing Cancer Coalition

- There are annual objectives that address program staff and leadership involvement and collaboration with the coalition on cancer plan revisions, implementation, and evaluation (AOs 4.1.1, 4.1.4).
- There is an annual objective to increase the number of training, conferences or technical assistance opportunities for coalition members; this will strengthen UCAN's capacity to educate and inform key stakeholders and the public (AO 4.1.2).
- There are annual objectives to assess the coalition representativeness, its membership, and its effectiveness in the key components of the cancer plan (AOs 4.1.3, 4.1.5).

#### Maintain, Implement, and Periodically Revise a Comprehensive Cancer Control Plan

- The action plan has appropriate project period and annual objectives for the implementing the state cancer plan (PPO 5.1).
- The program will maintain the alignment of its activities and policy agenda with the state cancer plan (AO 5.1.2).

#### Demonstrate Outcomes through Evaluation to Improve Program Performance

- There are four annual objectives address coordinating with other chronic disease programs:
  - Alignment of financial management with the chronic disease plan
  - Alignment of financial management with the state cancer plan
  - Staff participation in coordinated chronic disease meetings

- UCAN leadership will coordinate with other chronic programs to help the coalition become more sustainable (AO 1.1.6, 2.1.1, 4.1.4, 4.1.6).
- There is one objective that addresses disparities in access to healthy foods (5.8.1).
- There are four PPOs that address colorectal, lung, breast, and skin cancer (PPO 5.2, 5.3, 5.5, 5.9).
- Although it is likely that many of the strategies in the action plan are evidence-based, no strategies were listed in the CDMIS (CDMIS Action Plan tab, Annual Objective view).

**Other Relevant Comments:**

None.

**Itemized Budget:**

The budget appears reasonable and in alignment with the goals and objectives of the Year Four action plan.

**SAS License Requests:**

- 2016 (YR05) SAS License Requests, requested in Oct 2015, were properly reflected as direct assistance (DA) in the line-item budget and justification.
- The 2016 (YR05) budget request included the same number of licenses received and were reflected for the correct component(s).

**Amount of DA recommended/approved \$ 1173**  
**(Transfer amount to front page)**

**FY 2016 – Funding Opportunity Announcement DP12-1205  
Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations  
Annual Performance Report  
Technical Review Form**

Grantee's Name: Utah Cancer Control Program B&C (UCCP)

Grantee #: U58/DP0003910-05

Component: #1  MLC #2  NCCCP #3  NBCCEDP #4  NPCR  
#5  Innovative

**SAS License Requests:**      Amount of DA recommended/approved \$ \_\_\_\_\_

Technical Reviewer's Name: Patrice Kemp

Signature: **Patrice Kemp**

Date: March 7, 2016

After a complete review of the DP12-1205 Year 05 APR and discussion with the Grantee regarding the Year 05 IPR/Technical Review, the Grantee is to submit the following (check all that apply):

• **Response to Technical Review**

\_\_\_\_\_ The Recipient must respond to the major weaknesses cited within 30 days. Responses should be submitted to the assigned CDC Project Officer and should be reflective only of the weaknesses identified, not a resubmission of the entire application.

**NO** response to Technical Review is needed.

• **Revised Budget and Workplan**

\_\_\_\_\_ Revised Budget and Workplan is needed due to significant reduction of proposed budget, which will affect the proposed activities. The revised budget and workplan should be reflective of the amount of the actual Notice of Award (NGA).

Revised Budget and Workplan is **NOT** needed.

• **Revised Workplan**

\_\_\_\_\_ Revised Workplan is needed due to -- provide reason(s):

\_\_\_\_\_

\_\_\_\_\_ Revised Workplan is **NOT** needed.

• **Revised Budget**

\_\_\_\_\_ Revised Budget is needed due to -- provide reason(s):

\_\_\_\_\_

\_\_\_\_\_ Revised Budget is **NOT** needed.

### **Summary of Major Strengths (Please use bullets):**

- The Utah Cancer Control Program (UCCP) Breast and Cervical Cancer Screening Program (B&C) offering screening services to eligible women in all 26 counties in the state with screening contracts with Utah's Local Health Departments (LHDs). The LHDs coordinate services to provide Pap tests, pelvic exams, clinical breast exams, mammograms and colonoscopies to eligible women.
- The UCCP describes challenges to achieve full screening goal projections. The state's largest local health department, Salt Lake County Health Department, felt they could not adequately provide true medical homes to UCCP patients and terminated their contract abruptly November 1, 2015. The UCCP B&C's leadership quickly resolved the situation by partnering with other community resources in the Salt Lake Valley. The UCCP reached out to three community health centers with multiple locations: Health Clinics of Utah (a UDOH Medicaid clinic); Midtown Community Health Center in Salt Lake City (a FQHC); and Community Health Centers, Inc. (aka CHC Inc. – a FQHC) are now screening women for the B&C and the CDC WISEWOMEN programs to reach the target population.
- The UCCP conducted a needs assessment and develop component specific logic models to identify programmatic gaps and increase capacity across all program components with an emphasis on screening promotion activities.
- The UCCP B&C has been reaching out to more community resources to increase capacity of B&C screening rates in Utah. The UCCP leverages Bureau of Health resources, implements evidence-based interventions, implements evaluation activities, shares data to identify the target priority population, and identifies outreach activities partners with health systems through various activities necessary.
- The UCCP partnership with two other clinics, offering services to substantial Hispanic populations, through provider agreements. This broader reach to providing screening and educational services to reduce barriers and increase new collaborations and systems changes for both the community partners as well as for the UCCP.
- The UCCP developed a new telephone pre-registration enrollment process was created, housed at the state health department, for clients being screened at the new community clinics a systems change and a reduction in paperwork.
- The UCCP conducted a Community Health Worker pilot project for best practice methods and evidence-based interventions used by CHWs as a targeted, outreach activity. The project focused on identifying additional target populations and engaging them in expanded screening services in their communities (currently this project is in the pilot stage with Utah County Health Department with some of their rural and hard to reach populations).

- The UCCP has demonstrated improved work plan objectives. The UCCP coordinates with staff epidemiologist and media specialists to implement specific SMART objectives for short and long term goals.
- The UCCP has an evaluation plan according to CDC evaluation plan requirements. Logic models for each of the 8 components are complete. The UCCP is forming evaluation plans for non-screening activities/components in a phased manner. Evaluation plans have been drafted, but not yet formalized for two non-screening projects within this component, the Utah County Community Health Worker Outreach Project and Mass Media Evaluation.
- The UCCP is utilizing surveillance data to identify disparate and other underserved populations to target screening promotion activities. Utah's mammography rate for 2010 was 64.5%. Utah's 2020 goal will be 74.5%. UCCP plans to complete this objective by using the Social Ecological model (SEM) for NBCCEDP by providing screening services through a population-based screening and systems change approaches.

**Summary of Major Weaknesses** (Please use bullets):

- All activities should be evaluated for their effectiveness.

**Recommendations:**

- The UCCP B&C should continue evaluating all small media campaigns.
- The UCCP B&C should evaluate external partners' data on population based screening activities.
- The UCCP B&C should evaluate activities of the Community Health Worker project.

**Research Determination – DP12-1205** is only for non-research activities supported by CDC. For the definition of research, please see the CDC Web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>

No research activities have been proposed

Research activities have been proposed, but were disapproved/disallowed

## Reviewer Comments

### Progress towards Objectives:

- The UCCP has screened 1,980 women for mammography services. Barriers to screening in Utah includes: living in rural areas, distance to a screening facility, lack of access to a medical home, and transportation issues, uninsured/underinsured.
- The UCCP has increased partnerships, coordination, and collaboration to improve its capacity to reach non-insured, underinsured, and underserved Utahans in rural areas and in hardest-to-reach populations that require more intensive recruitment while maintaining key partners who directly serve these populations.
- The UCCP has a strong support program of collaboration across cancer, chronic disease, and other relevant programs (Medicaid, Utah Cancer Action Network, and National Public Cancer Registries). The Utah Cancer Action Network (UCAN) is Utah's comprehensive cancer control coalition, comprised of a diverse, professional group of stakeholders from across the state. Stakeholders represent a variety of groups and interest areas, including state and local governments, private and nonprofit organizations, academic institutions, researchers, physicians, cancer survivors, caregivers, patients, and advocates. UCAN is comprised of over 150 individual members representing 95 organizations
- The UCCP will recruit at least two partners representing Medicaid, healthcare systems, health insurers, worksites, diverse agencies, and organizations that reach large populations to increase utilization of screening services. UCCP is actively partnering with organizations that reach large populations to increase screening services including three FQHCs and one large health insurer, Molina Healthcare.
- The UCCP will continue to maintain and update its current Partnership Plan in an effort to better coordinate and collaborate with partners to assess priority populations and evidence-based interventions. At the end of the fiscal year, partners will be surveyed to assess EBIs and resources to better communicate and meet the needs of each partner. Several community health centers have been added to the partnership plan.
- The UCCP offers all clinics the opportunity to provide WISEWOMAN services to women 40-64. To promote clinical services, including WISEWOMAN services, a small media piece is being developed for use at health fairs, community centers, LHDs, and medical clinics. B&C and WW programs are merging to provide clinical work-ups and lifestyle intervention coaching with new FQHCs during the same appointment. This partnership is included in the MOAs as part of a PSE change in health systems.
- The UCCP has developed mass media campaigns using innovative approaches. Using BRFSS data regarding non-compliant women's intentions to screen; Love Communications is developing messaging directly addressing screening barriers which included a perceived lack of time, fear, beliefs about modest dress and behavior. The

UCCP recognizes women family, work, and community commitments mean they have many obligations, than taking time for cancer screening. An objective is to encourage women to talk to their doctor about screening. Four concepts will be developed messaging directly addresses the busy lives and priorities of women but underscores how valuable they are to loved ones. The campaigns is utilizing TV, transit and digital (including web banners, You Tube pre-roll ads and native advertising).

- The UCCP has a system in place to ensure 100% of women in need of diagnostic procedures of treatment not covered by CDC funding are assisted to get these services regardless of their ability to pay. Nurse navigators connect patients to resources to get services at low cost, free, or have a payment plan set up. Access to Intermountain Healthcare (IHC) voucher program allows women to have a diagnostic work-up for a total cost of \$50 (MRI, PET scan, abdominal ultrasound, chest X-rays, and minor surgeries).

### **Proposed Objectives:**

- The UCCP plans to complete a minimum annual screening goal of 5,900 screening mammograms by June 29, 2017. The UCCP B&C has identified the priority population for high- quality breast cancer screening services to be provided to women aged 50 to 64 years of age and for high-quality cervical cancer screening to be provided to women 21 to 64 years of age. The UCCP addresses challenges of recruiting Hispanic women and women living in rural areas of the state.
- The UCCP will comply with 100% CDC performance standards related to appropriate and adequate follow-up of women with abnormal screening results and referral of woman diagnosed with cancer to treatment. Patient with abnormal screening results and a diagnosis of cancer will receive tailored navigation and case management services from initial enrollment to final diagnosis, and treatment if deemed necessary.
- The UCCP will continue to will partner with Utah's BeWise (CDC funded WISEWOMAN Program) to offer BeWise services to all B&C clients through clinic providers.
- The UCCP will continue to utilize and evaluate Community Health Workers (CHWs) to recruit women from priority populations into the B&C program. CHW will be trained cultural competencies.
- The UCCP has a written evaluation plan logic model and proposed to conduct and disseminate evaluation findings from at least two activities.
- The UCCP plans to assist all participating local health departments (LHDs) establish at least two sustainable evidence-based in-reach strategies. The UCCP will engage LHDs to send out annual reminder letters and calls.



- The UCCP will continue to leverage existing partnerships to promote the wide adoption of breast and cervical cancer clinical guidelines and increase the use of evidence-based screening promotion practices across cancer and other chronic disease programs to achieve high-quality breast and cervical cancer screening.

**Other Relevant Comments:**

- The UCCP consistently meets the CDC standard for 11/11 Core Program Performance Indicators, and the DQIG guidelines.
- The UCCP CDC Project Consultant will continue to monitor the progress of the work plan with the Program Director to ensure multiple goals, completion dates, and outcome measures during the coming months and that programmatic activities align with the UCCP B&C Overall Logic Model.

**Itemized Budget:**

- The UCCP B&C itemized budget aligns with application materials.
- The UCCP B&C federal fund requested amount is \$3,319,592.00.
- The UCCP B&C expenditures are reviewed monthly to ensure accuracy and CDC compliance and feedback to Local Health Departments on allocation of funds.
- The UCCP B&C anticipates meeting or exceeding the screening goals projection.

**SAS License Requests:**

- 2016 (YR05) SAS License Requests, requested in Oct 2015, were properly reflected as direct assistance (DA) in the line-item budget and justification.
- The 2016 (YR05) budget request included the same number of licenses received and were reflected for the correct component(s).


**Amount of DA recommended/approved \$ \_\_\_\_\_**  
**(Transfer amount to front page)**

**COST SHARING COOPERATIVE AGREEMENT**

1. AGREEMENT NO SP4800-16-2-1639		2. THIS AGREEMENT INCORPORATES BY REFERENCE THE TERMS AND CONDITIONS IN SOLICITATION NO. DLA-20130412 WITH AMENDMENT NOS. 006, 008 & 009	
3. SOLICITATION URL		www.dla.mil/Portals/104/Documents/SmallBusiness/SCAA2013.pdf	
4. ISSUED BY DoDAAC SP4800 Defense Logistics Agency Office of Small Business Programs 8725 John J. Kingman Road, Suite 1127 Ft. Belvoir, VA 22060-6221		5. ADMINISTERED BY DoDAAC S0602A DCMA Denver Denver Federal Center, Bldg. 16 6th Avenue and Kipling St., PO Box 25586 Denver, CO 80225	
6. RECIPIENT DUNS 093122679 CAGE Code 086U0 Governor's Office of Economic Development 60 East South Temple, 3rd Floor Salt Lake City, UT 84111		7a. PAYMENT WILL BE MADE BY DoDAAC HQ0339 DFAS-CO/West Entitlement PO Box 182317 Columbus, OH 43218-2317	
8. ACCOUNTING AND APPROPRIATION DATA AA 9760100 5100 001 7000215 7021501639 4100 S33189		7b. ADVANCE PAYMENT <input type="checkbox"/> IS <input checked="" type="checkbox"/> IS NOT AUTHORIZED	
10. PERIOD OF PERFORMANCE STARTS 7/1/2016 ENDS 6/30/2017		9. FEDERAL FUNDS OBLIGATED \$416,676.00	
12a. BUDGET		11. PERIOD OF PERFORMANCE IS (Option period two)	
Personnel: \$426,626.00		12b. GOVERNMENT'S SHARE	
Fringe Benefits: \$172,579.00		\$ 416676.00 or 50.00 %	
Travel: \$32,114.00			
Equipment: \$0.00			
Supplies: \$6,690.00		12c. RECIPIENT'S SHARE	
Contractual: \$108,000.00		\$ 416676.00 or 50.00 %	
Other: \$87,766.00			
Indirect Costs: \$0.00			
TOTAL: \$833,775.00			

13. THE SERVICE AREA IS

The service area includes the entire state of Utah.

14a. SIGNATURE OF RECIPIENT 		15a. UNITED STATES OF AMERICA (SIGNATURE OF GRANTS OFFICER) MCCAULEY.YOLANDA .C.1064409324 <small>Digitally signed by MCCAULEY.YOLANDA.C.1064409324 DN: c=US, o=U.S. Government, ou=DoD, ou=PKI, ou=DLA, cn=MCCAULEY.YOLANDA.C.1064409324 Date: 2016.06.30 17:26:42 -04'00'</small>	
14b. NAME & TITLE OF SIGNER Chuck Spence Program Manager	14c. DATE SIGNED 6/30/16	15b. NAME & EMAIL OF GRANTS OFFICER YOLANDA MCCAULEY yolanda.mccauley@dla.mil	15c. DATE SIGNED 30 JUNE 2016

16. PROGRAM PLANS INCLUDE THE ESTABLISHMENT OF FACILITIES IN THE PLACE(S) LISTED

(the location in the first block is the principal place of performance)

Salt Lake City, UT 84111	Logan, UT
Kaysville, UT	Cedar City, UT
Sandy, UT	Price, UT
Orem, UT	
St. George, UT	

ANY CHANGE TO FACILITY LOCATIONS IN THIS BLOCK IS A SIGNIFICANT DEVELOPMENT THAT THE RECIPIENT IS REQUIRED TO REPORT TO THE GRANTS OFFICER AS SOON AS IT IS KNOWN

17. INDIRECT (F&A) COST RATES APPROVED FOR USE ARE LISTED

INSTITUTION	RATE	BASE	LOCATIONS
N/A			

18. SUBAWARDS APPROVED ARE LISTED

DESCRIPTION
N/A

19. THIRD PARTY IN-KIND CONTRIBUTIONS INCLUDED IN THE BUDGET AND APPROVED FOR USE TO MEET COST SHARING REQUIREMENTS ARE LISTED

DONOR	DESCRIPTION	AMOUNT
N/A		

20. ALLOWABLE EXPENDITURES FOR EQUIPMENT AND OTHER CAPITAL ASSETS ARE LISTED (see 2 CFR 200.439)

DESCRIPTION	AMOUNT
N/A	

Expenditures for equipment and other capital assets, third party in-kind contributions, subawards and indirect (F&A) costs using rates not listed are unallowable without prior approval. Attach additional pages if necessary.

Required reporting periods, forms, format, data elements, frequency, due dates and procedures for interim and final performance reports are in Appendix B (June 2015), which is available at -

[www.dla.mil/Portals/104/Documents/SmallBusiness/AppendixBJune2015.pdf](http://www.dla.mil/Portals/104/Documents/SmallBusiness/AppendixBJune2015.pdf)

Performance goals for the period of performance on page 1 are -

1. Number of new clients	600
2. Hours of counseling time	1500
3. Number of participated events	35

**PROGRAM AUTHORITY, CFDA AND PURPOSE**

Authority - Title 10, United States Code, Chapter 142

CFDA 12.002 - Procurement Technical Assistance For Business Firms

Recipients serve as a resource for information and training related to contracting opportunities with DoD, other Federal agencies, and State and local governments. This is not a research and development (R&D) program.

1. DATE ISSUED MM/DD/YYYY 06/06/2016  
 2. CFDA NO. 93.945  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 5 NU58DP004835-04-00  
 Formerly 3U58DP004835-02

5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 06/30/2013 Through 06/29/2018

7. BUDGET PERIOD MM/DD/YYYY  
 From 06/30/2016 Through 06/29/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH - TO PREVENT & CONTROL AND PROMOTE SCHOOL HEALTH

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Nicole Bissonette  
 288 North 1460 West  
 Disease Control and Prevention  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6228

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Ms. Rachel Blacher  
 4770 Buford Hwy. NE M/S F75  
 Division of Diabetes Translation  
 Chamblee, GA 30341  
 Phone: 770-488-4981

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)		12. AWARD COMPUTATION	
I Financial Assistance from the Federal Awarding Agency Only		a. Amount of Federal Financial Assistance (from item 11m) 898,250.00	
II Total project costs including grant funds and all other financial participation <b>I</b>		b. Less Unobligated Balance From Prior Budget Periods 53,511.00	
a. Salaries and Wages .....	308,749.00	c. Less Cumulative Prior Award(s) This Budget Period 0.00	
b. Fringe Benefits .....	249,166.00	d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 844,739.00	
c. Total Personnel Costs .....	557,915.00	13. Total Federal Funds Awarded to Date for Project Period 6,610,156.00	
d. Equipment .....	0.00	14. RECOMMENDED FUTURE SUPPORT	
e. Supplies .....	887.00	(Subject to the availability of funds and satisfactory progress of the project):	
f. Travel .....	31,886.00	YEAR	TOTAL DIRECT COSTS
g. Construction .....	0.00	a. 5	d. 8
h. Other .....	108,708.00	b. 6	e. 9
i. Contractual .....	128,000.00	c. 7	f. 10
j. TOTAL DIRECT COSTS →	827,396.00	15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:	
k. INDIRECT COSTS	70,854.00	a. DEDUCTION	
l. TOTAL APPROVED BUDGET	898,250.00	b. ADDITIONAL COSTS	
m. Federal Share	898,250.00	c. MATCHING	
n. Non-Federal Share	0.00	d. OTHER RESEARCH (Add / Deduct Option)	
		e. OTHER (See REMARKS)	
		16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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	
		b. The grant program regulations.	
		c. This award notice including terms and conditions, if any, noted below under REMARKS.	
		d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.	
		In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.	

REMARKS (Other Terms and Conditions Attached -  Yes  No)

Correction to Page 1 line 13: The correct total for line 13 "Total Federal Funds Awarded to Date for the Project Period" is \$4,556,786.

GRANTS MANAGEMENT OFFICIAL: Roslyn Curington, Grants Management Officer

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 90
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-921019V	b. 004835DP14	c. DP	d. \$111,942.00	e. 75-16-0948
22. a. 6-921Z5SG	b. 004835DP14	c. DP	d. \$156,287.00	e. 75-16-0948
23. a. 6-93903P0	b. 004835DP14	c. DP	d. \$121,861.00	e. 75-16-0948

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 06/06/2016
GRANT NO. 5 NU58DP004835-04-00	

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 6-93906CG	b. 004835DP14	c. DP	d. \$239,907.00	e. 75-16-0948
25.a. 6-939ZQZH	b. 004835DP14	c. DP	d. \$168,806.00	e. 75-16-0948
26.a. 6-939ZRHR	b. 004835DP14	c. DP	d. \$45,936.00	e. 75-16-0948

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP004835-04-00

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1. Terms and Conditions for Year 4 Non-PPHF Award
2. Technical Review

Funding Opportunity Announcement (FOA) Number: DP13-1305  
Award Number: U58DP004835-04  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DP13-1305, entitled, State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health under CDC – RFA – DP13-1305, and application dated February 29, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$ 898,250, including \$53,511 unobligated balance, is approved for the Year 4 budget period, which is June 30, 2016 through June 29, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Use of Unobligated Funds:** This NoA includes use of Year 1 unobligated funds in the amount of \$39,406, and Year 2 unobligated funds in the amount of \$14,105 for a total of \$53,511. These funds have been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year 1 Federal Financial Report (FFR), dated February 28, 2015, and the Year 2 FFR, dated September 28, 2015. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**\*Please Note:**

**Year 01 unobligated funds are available for payment under the G account document number: UDP004835A.**



**Year 02 unobligated funds are available for payment under the following P account:**

Document Number	Component	Subaccount Title	Amount Available
004835DP14	Nutrition	DP131305SCHOOLHEAL14	\$ 14,105

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, August 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** The proposed budget is tentatively approved contingent upon the receipt of a revised budget.

The information on the required segregation of budgets by **Non-PPHF and PPHF** was not available at the time of the continuation application. As a result, the proposed budget was not segregated by Non-PPHF and PPHF. Therefore, by **August 1, 2016**, the recipient must submit a revised budget for the Non-PPHF portion of the budget in the SF 424a, section B format with a narrative justification and work plan in conjunction with the Domain based budget by using the DP13-1305 budget template. The two different formats of budgets should be reconcilable. For further guidance for using the domain based budget template, please consult with your assigned project officer. **Failure to submit the revised budget by the due date may result in a restriction of funds. If the revised budget cannot be provided by the due date, the recipient must contact the assigned GMS/GMO before the due date.**

The revised budget must be based on the authorized budget of Non-PHF funds as indicated in the table below by each of the 4 divisional projects under the Basic Component and the Enhanced Component:

Project Main Component	Basic Component	Enhanced Component				Non-PPHF TOTAL
		Heart Disease & Stroke Prevention	Diabetes	Nutrition	School Activities	Sum of Basic and Enhanced Components
FY 16 funds Authorized	\$ 482,971	\$ -	\$ -	\$ 239,907	\$ 121,861	\$ 844,739
Offset by year 1 unobligated balance	\$ 29,235	\$ -	\$ -	\$ -	\$ 10,171	\$ 39,406
Offset by year 2 unobligated balance	\$ -	\$ -	\$ -	\$ 14,105	\$ -	\$ 14,105
<b>Total Budget</b>	<b>\$ 512,206</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 254,012</b>	<b>\$ 132,032</b>	<b>\$ 898,250</b>

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## FUNDING RESTRICTIONS AND LIMITATIONS

### **Programmatic Restriction: Required Recipient Meeting:**

Recipients are required to attend the DP13-1305 meeting November 30, 2016 thru December 2, 2016 in Atlanta, Georgia. If any recipient is not in compliance with this requirement of attending the 3 days, 2 nights meeting, the approved travel budget associated with the training activities will not be allowed to be redirected into other line item activities and the unobligated balance resulting from not attending the training activities will not be allowed to be used in future budget periods.

**Indirect Costs:** . Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a provisional rate is approved at a rate of 12.70% of the base, which includes, Direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2017.

**Matching Funds Requirement:** The matching funds are not required, but strongly encouraged to contribute a level of non-federal participation computed by the following guidance:

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The grantee may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature

itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

**REPORTING REQUIREMENTS**

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by September 29, 2017. Reporting timeframe is June 30, 2016 through June 29, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The following table of detailed costs tracking information by components and divisional projects must be submitted as an addendum to the annual FFR for this non-PPHF award to comply with the Congressional requirement:

Details of Funds Authorized, Expenditures, and Unobligated Balance by CAN/Divisional Projects						
Main Component	Basic Component	Enhanced Component				Total Non-PPHF Award
Project Subcomponents (Divisional Projects)	DDT, DNPAO, School Health, and HDSP	Heart Disease and Stroke	Diabetes	DNPAO	School Health	
Total Federal Funds Authorized	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Federal Share of Expenditures	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Unobligated Balance	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Note: Neither any cost transfer nor carryover of any unobligated balance between the basic component and the enhanced component, and among the 4 separate divisional project activities' appropriation lines is allowed to comply with the Congressional intent.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, March 1, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:**

Domestic Organizations: An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsr.gov](http://www.fsr.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsr.gov](http://www.fsr.gov). For sub-award

information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsr.gov](http://www.fsr.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
  
- Executive means officers, managing partners, or any other employees in management positions.
  
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
  
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
  
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed

in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by March 1, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, DP004816, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed



manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management Services (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the

links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

For additional information and/or to obtain your agency point of contact at the PMS, see, [http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/dpm\\_contact\\_list.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/dpm_contact_list.aspx?explorer.event=true)

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “P Account”. A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

This award contains funding from multiple components. The grant document number and a component’s applicable subaccount title (listed below) must be known in order to draw down funds from this P Account.

Component	Document #	Subaccount Title	CAN(s)	FY16 \$ Obligated
Basic	004835DP14	1305BA-BASIC-ALL2016	939ZRHR,921Z5SG , 921019V, 939ZQHQ	\$ 482,971
Enhance Diabetes	004835DP14	DP131305DIABETESPR14	93903P4	\$ -
Enhanced School Health	004835DP14	DP131305ENHSCHLTCO15	93903PO	\$ 121,861
Enhanced Heart Disease	004835DP14	DP131305HEARTDISPR14	93906CH	\$ -
Enhanced DNAPO	004835DP14	DP131305NUTRITIONP14	93906CG	\$ 239,907
Total				\$ 844,739

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## **CDC ROLES AND RESPONSIBILITIES**

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Rachel Blacher, Project Officer  
Centers for Disease Control  
NCCDPPH/DDT  
4770 Buford Hwy.  
Chamblee, GA 30341  
Telephone: 770-488-4981  
Fax:  
Email: gvf9@cdc.gov

**GMS Contact:**

Kang Lee, GMS/GMO  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
KLee@cdc.gov | 770-488-2853

**GMO Contact:**

Roslyn Curington, Grants Management Officer (GMO)/Team Lead  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
RCurington@cdc.gov | 770-488-2832

## CDC-RFA-DP13-1305

# State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health Technical Review: Year 3 APR/Year 4 Work Plan and Budget

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**State:** Utah

**Lead Project Officer:** Rachel Blacher

**Lead Evaluator:** Tiffany Burgess

**Date Reviewed:** March 16, 2016

**Award Number:** 1U58DP004835

**Funding Amount Requested:** \$2,120,792.45

**Recommended Funding:** Recommend at requested amount

More detailed feedback on budget request available in the [Basic Budget](#) and [Enhanced Budget](#) sections

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## Basic Component

### Annual Performance Report (APR), Basic Component

#### Comments on Year 3 APR, Basic Component

- Several Year 3 activities in the APR do not have status updates. The grantee should provide status updates for Year 3 activities in B.1, B.2, B.3, B.4, B.5 and B.6.
- The grantee should summarize activity progress to eliminate redundant statements and provide an indication of actual progress made over the course of the time frame for the APR instead of including each quarter's update.
- In reviewing the APR for activities started in Year 2, it is not possible to determine the status of some activities. While the status notes "on track for completion," some activities read like they have already been completed.
  - For example, an activity under Year 2, Basic 6 on conducting a Telehealth Webinar for BeWise instructors notes that it is "on track for completion," but the four quarterly updates make it read as though it has been completed. Is this activity complete or are there remaining portions of the activity yet to be completed?
  - Another activity under B6 from the Year 2 APR is for identifying a partner to pilot an intervention on detecting people with prediabetes. The last update seems to be from Q3 in Year 2. Please clarify if this activity is complete or still in process. The same issues exist in some of the enhanced Domain 4 APR. Please revise or clarify the status of these activities.
- The grantee provided a Year 3 Annual Performance Report (APR) for the Basic component that demonstrates progress toward achieving the performance measures for NPAO strategies.

- The grantee accomplished several noteworthy projects, goals, and strategies in Domain 2 NPAO, including:
  - Increasing TOP Star endorsements in early care and education (ECE) facilities and providing trainings to a larger number of ECE partners (Basic Strategy 1);
  - Creating a modified version of the CDC Worksite Health Score Card in answer to Provider Employer Health Plan (PEHP) employer-clients' input and working with <50 worksite to complete the modified assessment (Basic Strategy 3); and
  - Training TOP Star trainers and ECE directors on active play in the ECE setting based on Diane Craft's expertise (Basic Strategy 3).
- The grantee accomplished noteworthy progress in Domain 3, Heart Disease and Stroke Prevention including:
  - Coordinated the Division of Disease Control and Prevention's Informatics Team in the development of support related to data reporting and collection.
  - Built relationships with the Office of Health Statistics, where the State Innovation Model (SIM) data reporting is coordinated, to align SIM and 1305 health system clinical quality metrics.
  - Enrolled over 70 patients in a self-measured blood pressure protocol pilot being tracked in the electronic medical record. The pilot is being spread to 3 additional clinics.
- For PM B.5.01: Although CDC will allow BRFSS as an acceptable proxy for the entire 5-year period, grantees are expected to work towards the ideal measurement using health systems data, and to reflect those data in the sub-rows as they have the capacity to do so.

**Feedback/Recommendations on Year 3 APR Basic Component Performance Measures to be addressed by Awardee**

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- The grantee should provide Year 3 actuals for performance measure B.1.01 that are cumulative rather than annual.
- The grantee should provide Year 3 actual for performance measures B.2.03 and B.2.04. These measures can remain the same as Year 2 actuals until they need to be updated.

**Work Plan, Basic Component**

**Overarching Comments—Year 4 Basic Work Plan**

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- Overall the year 4 work plan continues to move in the right direction with respect to strong and innovative programming that meets the goals of the FOA.



**Strategy B.1: Promote the adoption of food service guidelines/nutrition standards, which include sodium**

- Recommendations on Activities:
  - The grantee indicates that it will coordinate with partners to provide training, technical assistance and resources to improve early care and education (ECE) nutrition policies (row 12). However, it is not clear in the activity if this will only be done through the Childcare Obesity Prevention Workgroup or with additional groups as well. The grantee is recommended to clearly outline which partners, besides the work group, it plans to engage with on providing professional development and technical assistance to ECE providers. If the work group is the only partner, then please state this too.
  - The remaining ECE activities are clear and build from Year 3 efforts (rows 13 & 14).
  - Due to limited progress on the school health piece of this strategy seen in the APR, with only three LEAs receiving professional development and technical assistance on strategies to create a healthy school nutrition environment, the grantee should provide additional substantive activities to identify strategies that will increase professional development and technical assistance statewide.
- Recommendations on Performance Measures
  - For performance measure B.1.01, the targets should be cumulative rather than annual.

**Strategy B.2: Promote the adoption of physical education/physical activity (PE/PA) in schools**

- Recommendations on Activities:
  - The grantee should provide additional information on the specific statewide professional development opportunities that will be provided. The current activities refer to these but do not provide specifics.
- Recommendations on Performance Measures
  - Year 4 targets should be provided for performance measures B.2.03 and B.2.04.

**Strategy B.3: Promote the adoption of physical activity (PA) in early care and education (ECE) and worksites**

- Recommendations on Activities:
  - The grantee is asked to clarify if the 70 PEHP employer-clients that have wellness councils are new partners in Year 4 or if these are the same employer-clients the grantee worked with in Year 3 on administering the CDC Worksite Health Score Card or EPICC mini scorecard (row 42). If new partners, does this mean that at least 70 new state and/or local agencies will complete the scorecard in Year 4? If so, is this target achievable within a one-year time period?
  - The grantee is asked to confirm if they will be working with both the local health departments and the worksites that work with the local health departments on completing the CDC Worksite Health Score Card or EPICC mini scorecard (row 43).
  - The grantee is asked to see the comments and questions under Basic Strategy 1 regarding physical activity in the ECE setting (rows 44-46).
- Recommendations on Performance Measures

- For performance measures B.3.01 & B. 3.02 – The baseline is higher than Year 4 targets in work plan. The grantee should clarify.
- For performance measures B.3.03 & B.3.04 – The grantee includes Years 4 and Year 5 targets on sub-row line with measures notes. Please place these measures on the parent row and add corresponding comments to those on the parent row.

**Strategy B.4: Promote reporting of blood pressure and A1C measures; and, as able, initiate activities that promote clinical innovations, team-based care, and self-monitoring of blood pressure**

- Recommendations on Activities:
  - The last activity under this strategy needs clarification on what technical assistance related to Million Hearts will be provided. To support this strategy, it should be on reporting of blood pressure control.
- Recommendations on Performance Measures
  - When setting the targets for the revised Year 4 work plan, the grantee should update the data source field and include a detailed explanation for the change in data source.
  - The performance measure notes indicate a new data source for this strategy. Please update the measure note with the name of the data source (1422 Health Assessment Survey).

**Strategy B.5: Promote awareness of high blood pressure among patients**

- Recommendations on Activities:
  - The grantee needs to specify that these activities will support finding undiagnosed hypertension.
  - The grantee needs to add an activity that reflects the work being done on the performance measure for this strategy as described in the “measure notes” field.
- Recommendations on Performance Measures
  - The “Measure Notes” include the following statement, but there is no activity that relates to this in the work plan for this strategy:
    - *“Y4 and Y5 targets were revised to reflect the directions in the Performance Measure Operationalized Profiles to only include individuals with a provider in the denominator. EPICC is working with Medicaid Office and APCD analysts to gather information on this measure in future years. This will complement BRFSS.”*

**Strategy B.6: Promote awareness of prediabetes among people at high risk for type 2 diabetes**

- Recommendations on Activities:
  - General comment: Does the newly developed diabetes prevention strategic plan (from the August 2015 PSTAT visit) have any activities under promoting awareness (B6) or increasing referrals and reimbursement to public employees or Medicaid beneficiaries (4.2)? What does implementation of the Diabetes Prevention Strategic plan look like with respect to Basic Strategy 6 and Enhanced Strategy 4.2?

- Activity 1: In order to reach as many people as possible through this strategy, activities under Strategy 6 should focus on the general population at risk for Type 2 diabetes or health care providers and not specific and small populations such as women with gestational diabetes.
- Activity 2: Please clarify language in this activity. How will collaboration between EPICC and other health programs expand the Diabetes Prevention Summit? How will these groups work to demonstrate how health plans can identify and target members who are at risk for diabetes and strengthen referrals? This seems like a large activity; perhaps it should be split into two? If the activity is also focusing on referrals, please consider placing it under Enhanced Strategy 4.2.
- Please include activities that leverage the materials developed by the Ad Council to promote awareness of prediabetes to the general population.
- Recommendations on Performance Measures
  - None noted.

**Strategy B.7: Promote participation in ADA-recognized, AADE-accredited, state-accredited/certified, and/or Stanford licensed diabetes self-management education (DSME) programs**

- Recommendations on Activities:
  - Activity 1: Please clarify how many trainings will be provided to diabetes educators.
  - Activity 2: Please add additional detail around the targeted marketing plan. Who is the target of the campaign? How will the plan be implemented?
  - Activity 3: Please articulate how awareness will be promoted, what resources are being promoted and to whom the promotion is occurring (health care professionals or people with Type 2 diabetes?)
- Recommendations on Performance Measures
  - The grantee should include both numerator and denominators in Year 4 targets. Additionally, increase the DSMP target.

## Basic Budget

### Recommendations

- In the “Basic Budget” tab, the grantee states that that it will sponsor the “Youth Bicycle Education and Safety Training Program” (row 123); however, this training program is not listed in the Year 4 work plan. Does this align with activities in Basic Strategies 2 or 3? If so, which activity (or activities) does it connect to?

## Enhanced Component

### APR, Enhanced Component

#### Comments on Year 3 APR, Enhanced Component

- The grantee should summarize progress to eliminate redundant statements and provide an indication of actual progress made over the course of the time frame for the APR instead of including each quarter's update. Due to space limits in the template, it is difficult to read the entire APR update (many Q4 updates are unable to be viewed because of the length of the APR updates).
- The grantee provided a Year 3 Annual Performance Report (APR) for the Enhanced component that demonstrates progress toward achieving the performance measures for NPAO strategies.
- The grantee accomplished several noteworthy projects, goals, and strategies in Domain 2 NPAO, including:
  - Increasing the number of farmers markets accepting SNAP, particularly in underserved areas, to use electronic benefits transfer (EBT) and initiating farmers markets in Associated Foods' parking lots (Strategy 2.1);
  - Identifying the number of local health departments with food procurement guidelines and agreements (Strategy 2.2);
  - Working closely with local health departments and jurisdictions on updating their master plans and providing technical assistance on active transportation strategies (Strategy 2.4); and,
  - Successfully piloting the Step Up for Utah Babies program in 2 hospitals (Strategy 2.7).

#### Feedback/Recommendations on Year 3 APR Enhanced Component Performance Measures to be addressed by Awardee

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- For performance measures 2.2.02 – The grantee does not include data for Year 3 actuals. The grantee should include these data or document in “measures notes” how data will be obtained and provide a timeline for data collection.
- The grantee should provide Year 3 actual data for 2.3.14 and 2.3.15 (The YRBS is the only appropriate data source).
- For performance measure 2.6.04, there are missing values and the measure notes do not include sufficient details. The grantee should provide an anticipated timeline for the tool development in the measure notes.
- For performance measure 2.6.05, the baseline should not be above 10, since this measure is tracking 10 components within Shape of the Nation. A Year 3 actual should be submitted and can be changed after new Shape of the Nation data are released. The data should match what is found in B.2.03. The grantee should provide a more detailed anticipated timeline for reporting on this measure.

- For performance measure 2.6.06, the data from YRBS should be included in the main performance measure row rather than the sub-row beneath the measure.
- For all performance measures under Strategies 3.1. and 3.2 and PM 4.3.08 under Strategy 4, the grantee should submit a revised APR with an **anticipated timeline** for setting an updated health systems denominator in “APR Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.
- For all Domains 3 and 4 Health System-related performance measures: The data in the parent row should reflect the statewide perspective for the both the numerator and denominator. If the numerator and/or denominator are unknown at the state level and there is no estimate available, then the parent row should be left blank to avoid the reporting of partial or misleading data. The grantee should include information on numerators or denominators (e.g., total number of health care systems in the state) in the Measure/APR notes field. Please use the sub-rows to report data that are specific to a particular data source and not state level. Please apply this update to all applicable performance measures. The grantee is also advised to review DHDSP Performance Measure profiles dated 02/2016 and work with their HDSP evaluator to properly define health systems and report data.
- For performance measure 4.1.06, the grantee fell slightly below target. The grantee should include barriers/challenges that may have contributed to this decrease.
- For performance measure 4.2.01, 4.3.02, 4.3.08, 4.4.01, and 4.4.03, the grantee should report both numerator and denominator values. The grantee should update the CDC Evaluator regarding the anticipated date in summer 2016 when data and targets will be available.
- For performance measure 4.3.10: The grantee should ensure that data being reported reflect activities during the appropriate Year 3 APR reporting period of **February 1, 2015 – January 31, 2016**.
- For performance measures 4.5.06 and 4.5.07, the grantee should provide more details in the “measure notes” section regarding the progress made on the measure.
- For performance measure 4.5.08: The grantee should provide more details in the “measure notes” section regarding barriers to data collection for this measure.

## Work Plan, Enhanced Component

### Overarching Comments—Year 4 Enhanced Work Plan

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- Overall, the Year 4 work plan continues to move in the right direction with respect to strong and innovative programming that meets the goals of the FOA.

## Domain 2

### Strategy 2.1: Increase access to healthy foods and beverages

- Recommendations on Activities:

- The grantee is asked to provide the target number of underserved areas that lack farm-to-consumer outlets that it aims to identify and work with in Year 4 (row 27).
- The grantee has included several activities within one row (28) for electronic benefit transfer (EBT) at farmers markets. How many farmers markets does the grantee aim to implement EBT with local health departments? How will the development of the EBT infrastructure at 2 additional farmers markets with specific partners differ than the work with the local health departments? What does “B126” represent? How many farmers markets that accept SNAP will the grantee target in Year 4 to implement the Double-Up Bucks program?
- Recommendations on Performance Measures
  - For performance measures 2.1.06 & 2.1.07 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

**Strategy 2.2: Implement food service guidelines/nutrition standards where foods and beverages are available. Guidelines and standards should address sodium.**

- Recommendations on Activities:
  - The grantee is asked to clarify if the target of 13 for completing the CDC Worksite Health Scorecard or the EPICC mini scorecard includes the local health departments, government agencies, and local worksites, or if all 13 local health departments and at least 1 worksite will be targeted in Year 4 to complete the scorecard (row 43).
  - The grantee is asked to clarify if the 2 agencies it will target to develop food procurement policies of the PEHP/Healthy Utah’s 70 state and local government employee wellness councils are new agencies for Year 4 (row 44). If so, will the grantee follow up with the Year 3 wellness councils that developed food procurement policies on if and how these policies will be implemented and maintained in Year 4?
- Recommendations on Performance Measures
  - For performance measures 2.202 & 2.205 – The grantee includes Years 4 and 5 targets on sub-row line with measures notes. Please place these measures on the parent row and add corresponding comments to those on the parent row.
  - For performance measures 2.2.07 & 2.2.08 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

**Strategy 2.3: Create supportive nutrition environments in schools**

- Recommendations on Activities:
  - The grantee should provide more detailed activities that enhance progress made in previous years. Creating a report/summary template for WellSAT and providing farm-to-school resources are not comprehensive enough to cover the work on this strategy for Year 4. The grantee should provide specific support for the four target LEAs and consider reviewing performance measures to identify areas that need improvement.
  - The grantee should consider adding activities in this strategy related to providing professional development and technical assistance for School Health Guidelines and

School Health Index, as they have nutrition content areas and are mentioned in other proposed activities.

- Recommendations on Performance Measures
  - For performance measure 2.3.01, if all four target LEAs have received professional development and technical assistance, the Year 4 target should be 4. In the APR, a note indicated that all four target LEAs would have received technical assistance by spring 2016.
  - The grantee should provide Year 4 targets for performance measures 2.3.13, 2.3.14, 2.3.15, and 2.3.16.

#### **Strategy 2.4: Increase physical activity access and outreach**

- Recommendations on Activities:
  - The grantee is asked to include if it has a target number of master plans it aims to update in Year 4 with active transportation components in concert with its communities and municipalities (e.g., *between 5-10 master plans*) (row 94).
  - The grantee is asked to include if it has a target number of communities it aims to provide technical assistance to on implementing policy or environmental changes to support physical activity (e.g., *at least 5 communities*) (row 95).
  - The grantee outlined activities that build from Year 3 and align well with the purpose of this strategy.
  - Regarding the “Focus Areas” tab, “state governments” and “worksites” are included; however, the activities do not seem to align with these two settings. The grantee is asked to clarify how the activities align with these two settings or remove these settings from this tab (row 301).
- Recommendations on Performance Measures
  - For performance measure 2.4.04 & 2.4.05 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

#### **Strategy 2.5: Implement physical activity in early care and education**

- Recommendations on Activities:
  - The grantee is asked to provide how many additional web-based trainings it aims to make available in Year 4 on the Choose Health website for the 6 Child Care Resource and Referral Agencies (CCR&Rs) (e.g., *at least 3 trainings*) (row 112).
  - The grantee has provided adequate information on the other ECE activities.
- Recommendations on Performance Measures
  - No recommendations noted.

#### **Strategy 2.6: Implement quality physical education and physical activity in K-12 schools**

- Recommendations on Activities:
  - The grantee should clarify if all proposed activities are designed for the four target LEAs. Any activities designed for LEAs across the state, should be moved to B.2.

- The grantee should clarify how schools and LEAs will be encouraged to adopt Comprehensive School Physical Activity Programs (CSPAP) and specific technical assistance that will be provided to assist with this.
- Recommendations on Performance Measures
  - The grantee should include Year 4 targets for 2.6.04, 2.6.05 and 2.6.06 and a Year 5 target for 2.6.06.
  - For performance measure 2.6.06, YRBS should be the primary data source and should be reported in the first row.

**Strategy 2.7: Increase access to breastfeeding friendly environments**

- Recommendations on Activities:
  - The grantee’s activities for breastfeeding supportive practices in birthing facilities are well explained and build from Year 3 (rows 144-145).
  - The grantee is asked to provide information on how many childcare facilities it aims to work with through the 9 local health departments to develop breastfeeding policies for the ECE staff (e.g., at least 2 ECE facilities in every local health department jurisdiction) (row 176).
  - The other activities outlined in workplace compliance with federal lactation accommodation law include adequate information and illustrate a clear vision of the grantee’s goals in Year 4 (rows 174-175).
- Recommendations on Performance Measures
  - For performance measures 2.7.01 – Year 3 actuals and Year 4 targets are the same. The grantee should clarify.
  - For performance measures 2.7.02 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.
  - For performance measures 2.7.06 – 2.7.09 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

**Domain 3**

**Strategy 3.1: Increase implementation of quality improvement processes in health systems**

- Recommendations on Activities:
  - All enhanced activities timelines are for two quarters only. The grantee should revise the timelines in Domain 3 to reflect when work will be accomplished.
- Recommendations on Performance Measures
  - For all Domains 3 and 4 Health System-related performance measures: The data in the parent row should reflect the statewide perspective for the both the numerator and denominator. If the numerator and/or denominator are unknown at the state level and there is no estimate available, then the parent row should be left blank to avoid the reporting of partial or misleading data. The grantee should include information on numerators or denominators (e.g., total number of health care systems in the state) in the Measure/APR notes field. Please use the sub-rows to report data that are specific to a particular data source and not state level. Please apply this update to all applicable



performance measures. The grantee is also advised to review DHDSP Performance Measure profiles dated 02/2016 and work with their HDSP evaluator to properly define health systems and report data.

- For all performance measures under Strategy 3.1., the grantee should submit a revised work plan with an anticipated timeline for setting an updated health systems denominator in “Measure Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.

### **Strategy 3.2: Increase use of team-based care in health systems**

- Recommendations on Activities:
  - All enhanced activities timelines are for two quarters only. The grantee should revise the timelines to reflect when the work is being done.
  - The grantee should include what action it hopes to accomplish by distributing Million Hearts materials to LHDs that will have an impact on heart attacks and strokes. Distributing materials does not impact the performance measures or the Million Hearts outcomes.
  - The grantee should add an activity that corresponds to the second pharmacy contract (Scope of Work: work with health systems to test the process to contract with the pharmacy network).
  - The grantee should add an activity that corresponds to the expansion of the Million Hearts recognition program contract in the budget. If the recognition pertains to more than accurate blood pressure measurement, the grantee should consider changing the name of the program.
- Recommendations on Performance Measures
  - For all performance measures under Strategy 3.2., the grantee should submit a revised work plan with an anticipated timeline for setting an updated health systems denominator in “Measure Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.

## **Domain 4**

### **Strategy 4.1: Increase use of diabetes self-management programs in community settings**

- Recommendations on Activities:
  - Activities 4 and 5 are similar to what was done in Year 3. Please articulate how the continuation of this activity builds on what was done in Year 3 or consider new activities.
  - Activity 6: 1305 funds may not be used to pay for people to attend DSME programs. The grantee should reconsider this activity.
- Recommendations on Performance Measures
  - No recommendations.

#### **Strategy 4.2: Increase use of lifestyle intervention programs in community settings for the primary prevention of type 2 diabetes**

- Recommendations on Activities:
  - Overall comment: The activities in the work plan do not seem to focus on driving referrals to National DPP providers. The EPICC team is encouraged to consider activities that can increase and strengthen referrals and reimbursement for the National DPP. Similar to what was mentioned under B.6, how will the Utah Prediabetes Strategic Plan impact this strategy?
  - Activity 1: Please clarify what type of assistance will be provided to Utah Leaders for Health. Also, clarify if assistance is necessary; the current framing of the activity “as needed” could imply that this may not be a high priority activity. Additionally, under 1305, this activity should focus on public employees.
  - Activities 2 and 4: How will these activities meet the goals of the strategy? If the activity is to promote awareness of prediabetes, please move it to Basic Strategy 6.
  - Activity 4: This activity should be reconsidered. Women with gestational diabetes are not a focus of 1305.
  - In Year 3, the EPICC team conducted an activity around looking for opportunities for synergy with Domain 3 to incorporate screening/identification of people with prediabetes in their modules. How will the findings from the survey be used in Year 4? Will there be opportunities for synergy? If so, please consider including a follow-on activity from this one in the Year 4 work plan.
- Recommendations on Performance Measures
  - For performance measure 4.2.01, the grantee should report both numerator and denominator values in the targets. The grantee should update the CDC Evaluator regarding the anticipated date in summer 2016 when targets will be available.

#### **Strategy 4.3: Increase use of health care extenders in the community in support of self-management of high blood pressure and diabetes**

- Recommendations on Activities:
  - Intervention 1, Activity 1: Before developing new CHW training modules on self-management of diabetes, please investigate what CHW modules already exist. Please confer with the Project Officer if necessary.
  - Intervention 1, Activity 2: Please clarify if this is related to diabetes. If not, please move it to Intervention 2 (management of high blood pressure).
  - Intervention 1, Activity 3: Please articulate what type of opportunities will be presented to DSME providers. Will the grantee be making the “CHW case” for diabetes education?
  - Intervention 2: Recommend that the grantee include some indication that community linkages will be addressed in activities to increase CHW engagement for adults with high blood pressure.
  - Intervention 2: Recommend including some follow-up activity with participating pharmacists to track impact on participating pharmacists’ performance after education on resources to help with medication co-pays.

- Intervention 3: Please expand on how EPICC will be promoting CE opportunities.
- Recommendations on Performance Measures
  - For all health system-related performance measures under Strategy 4.3., the grantee should submit a revised work plan with an anticipated timeline for setting an updated health systems denominator in “Measure Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.

**Strategy 4.4: Increase use of chronic disease self-management programs in community settings**

- Recommendations on Activities:
  - Activity 1: Please expand on the type of technical assistance and support EPICC is providing in this activity.
- Recommendations on Performance Measures
  - The grantee should report numerators and denominators for performance measure targets in 4.4.

**Strategy 4.5: Implement policies, processes, and protocols in schools to meet the management and care needs of students with chronic conditions**

- Recommendations on Activities:
  - No recommendations noted.
- Recommendations on Performance Measures
  - For performance measure 4.5.08, the grantee should provide more detailed information/explanation in the measure notes for the 0 values reported.

**Enhanced Budget**

**Recommendations**

- In the “Contracts” tab, the contract with Five County AOG was calculated at the cost of 33 hours at \$30 as being \$1,000. It should be \$990. Please clarify or fix.
- In the “Domain 2 Budget” tab, the grantee states that 100% of the budget is allocated to nutrition, physical activity, and obesity (NPAO) activities for sponsoring the “Youth Bicycle Education and Safety Training Program” (row 124); however, this training program is not listed in the Year 4 work plan. Does this align with activities in Strategy 2.4? If so, which activity (or activities) does it connect to?
- The grantee should provide additional detail related to the itemized costs for supporting training for CSPAP and SHI in the school district contracts.
- For the contracts with target LEAs – the scope of work mentioned only references physical activity, not nutrition or managing chronic conditions. The grantee should consider whether these contracts should also provide for the other two content areas.
- Domain 3 contracts:
  - There is a second pharmacy contract \$11,200 for a pilot of the pharmacy network contracting process but there is no related activity.

- There is a contract in the budget for \$30,000 to expand the Million Hearts recognition program. However, there is no activity to expand the program in the work plan.
- There is a contract in the budget for \$21,000 for Team Based Care, yet there is no corresponding activity in the work plan.
- There is a contract in the budget for EHR performance improvement, but there is no corresponding activity in the work plan.
- In the “Domain 4 Budget” tab, the grantee should provide additional justification and description for the \$21,700 in the “Other” line item for the School Nurse Summer Institute. What will this money pay for specifically?

## Research Determination

DP13-1305 is only for non-research activities supported by CDC. (For the definition of research, please see the CDC Web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>)

- No research activities have been proposed.
- Research activities have been proposed, but were disapproved/disallowed.



# United States Department of the Interior

FISH AND WILDLIFE SERVICE  
Washington, D.C. 20240



In Reply Refer To  
FWS/WSFR/AIM:062101

**FEB 22 2016**

To: State Fish and Wildlife Agencies  
Secretary, Department of Natural Resources  
of the Commonwealth of Puerto Rico  
Governor of Guam  
Governor of U.S. Virgin Islands  
Governor of American Samoa  
Governor of Commonwealth of the Northern Mariana Islands  
Mayor of the District of Columbia

The purpose of this letter is to notify you of the Fiscal Year 2016 apportionment of State Wildlife Grant funds by the U.S. Fish and Wildlife Service (Service). The apportionment includes \$47,495,611 for the State Wildlife Grant program authorized by the FY 2016 Omnibus, Consolidated Appropriations Act, PL 114-113.

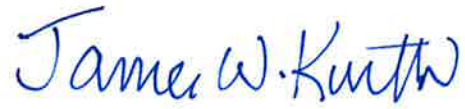
The FY 2016 apportionment also includes \$721,813 in reverted FY 2008 and after State Wildlife Grant Program funds and \$1,509,144 in unobligated balances from 2007 and prior year grant closures. Total funds available for the States and territories in the FY 2016 apportionment are \$49,726,568 (CFDA No. 15.634), an increase of \$3.7 million from FY 2015.

This program provides grants for the development and implementation of State programs to benefit wildlife and their habitat. The apportionment, shown on the enclosed table, is for the fiscal year beginning October 1, 2015, and is available for obligation until September 30, 2017. After this date, the Service will reapportion any remaining unobligated and other reverted funds to all States and territories, together with any new funds appropriated for FY 2018.

The funds are distributed through apportionment formula in accordance with the Appropriations Act to States and to the District of Columbia, the Commonwealth of Puerto Rico, Guam, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa. The formula for apportionment is based one-third on the land area of each State and two-thirds on the population of each State. In accordance with the Act, no States may receive less than 1 percent of the total available for apportionment, or more than 5 percent. The District of Columbia and the Commonwealth of Puerto Rico may each receive no more than one-half of 1 percent of the total, and Guam, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa may each receive no more than one-fourth of 1 percent of the total.

Please contact the Wildlife and Sport Fish Restoration Program in your Regional Office if you have questions about this apportionment.

Sincerely,



DIRECTOR

Enclosure

**Deputy**

U.S. FISH AND WILDLIFE SERVICE  
 FINAL APPORTIONMENT OF STATE WILDLIFE GRANTS  
 FOR FISCAL YEAR 2016  
 CFDA: 15.634

<u>STATE</u>	<u>STATE WILDLIFE - 5620</u>	<u>STATE WILDLIFE - 5720</u>
ALABAMA	\$741,094	\$23,195
ALASKA	2,410,871	75,457
AMERICAN SAMOA	120,543	3,772
ARIZONA	1,213,747	37,988
ARKANSAS	559,539	17,512
CALIFORNIA	2,410,871	75,457
COLORADO	1,026,498	32,130
CONNECTICUT	482,174	15,091
DELAWARE	482,174	15,091
DISTRICT OF COLUMBIA	241,087	7,545
FLORIDA	2,198,260	68,802
GEORGIA	1,274,343	39,885
GUAM	120,543	3,772
HAWAII	482,174	15,091
IDAHO	573,767	17,958
ILLINOIS	1,580,131	49,456
INDIANA	836,759	26,192
IOWA	588,119	18,407
KANSAS	697,643	21,835
KENTUCKY	640,412	20,044
LOUISIANA	695,924	21,781
MAINE	482,174	15,091
MARYLAND	636,970	19,936
MASSACHUSETTS	704,602	22,056
MICHIGAN	1,293,069	40,471
MINNESOTA	956,506	29,937
MISSISSIPPI	537,505	16,823
MISSOURI	953,017	29,828
MONTANA	830,283	25,989
N. MARIANA ISLANDS	120,543	3,772
NEBRASKA	569,111	17,812
NEVADA	822,653	25,748
NEW HAMPSHIRE	482,174	15,091
NEW JERSEY	929,818	29,102
NEW MEXICO	812,356	25,429
NEW YORK	2,207,709	69,098
NORTH CAROLINA	1,227,852	38,434
NORTH DAKOTA	482,176	15,091
OHIO	1,374,359	43,015
OKLAHOMA	727,218	22,761
OREGON	870,085	27,232
PENNSYLVANIA	1,512,288	47,332
PUERTO RICO	241,087	7,545
RHODE ISLAND	482,174	15,091
SOUTH CAROLINA	623,246	19,506
SOUTH DAKOTA	482,174	15,091
TENNESSEE	852,398	26,682
TEXAS	2,410,871	75,457
UTAH	701,602	21,959
VERMONT	482,174	15,091
VIRGIN ISLANDS	120,543	3,772
VIRGINIA	1,012,448	31,688
WASHINGTON	1,019,586	31,911
WEST VIRGINIA	482,174	15,091
WISCONSIN	855,070	26,765
WYOMING	542,736	16,986
<b>TOTAL</b>	<b>\$48,217,424</b>	<b>\$1,509,144</b>

# Grant and Cooperative Agreement

CHOOSE ONE:

- COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER: P16AF00210  
 2. SUPPLEMENT NUMBER: \_\_\_\_\_  
 3. EFFECTIVE DATE: 08/12/2016  
 4. COMPLETION DATE: 09/30/2017

5. ISSUED TO: NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip)  
 STATE LIBRARY, UTAH  
 Attn: ATTN GOVERNMENT POC  
 300 RIO GRANDE  
 SALT LAKE CITY UT 84101-1106

8. ISSUED BY: NPS, Historic Preservation Grants D  
 Mailing Address: 1201 I Street NW  
 Org. Code 2256  
 Washington DC 20005

7. TAXPAYER IDENTIFICATION NO. (TIN): \_\_\_\_\_

9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone)  
 State Historic Preservation Officer  
 801-245-7251

8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.: 1TB66

10. RESEARCH, PROJECT OR PROGRAM TITLE  
 2016 HPF SHPO - UTAH

11. PURPOSE

12. PERIOD OF PERFORMANCE (Approximately)  
 10/01/2015 through 09/30/2017

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$0.00	PREVIOUS	\$0.00
THIS ACTION	\$772,701.00	THIS ACTION	\$772,701.00
CASH SHARE	\$772,701.00	<b>TOTAL</b>	\$772,701.00
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$515,134.00		
<b>TOTAL</b>	\$772,701.00		

14. ACCOUNTING AND APPROPRIATION DATA  
 01

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020098655			

15. POINTS OF CONTACT

NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER			
NEGOTIATOR			
ADMINISTRATOR			
PAYMENTS			

18. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
 P.L. 114-113

17. APPLICABLE STATEMENT(S), IF CHECKED:  
 NO CHANGE IS MADE TO EXISTING PROVISIONS  
 FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT

18. APPLICABLE ENCLOSURE(S), IF CHECKED:  
 PROVISIONS  SPECIAL CONDITIONS  
 REQUIRED PUBLICATIONS AND REPORTS

UNITED STATES OF AMERICA

COOPERATIVE AGREEMENT RECIPIENT

CONTRACTING/GRANT OFFICER: *Megan J. Brown* DATE: SEP 15 2016  
 AUTHORIZED REPRESENTATIVE: *[Signature]* DATE: 9-14



Pilot

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

**1.a. Type of Submission:**

- Application
- Plan
- Funding Request
- Other

Other (specify):

**1.b. Frequency:**

- Annual
- Quarterly
- Other

Other (specify):

**1.d. Version:**

- Initial
- Resubmission
- Revision
- Update

**2. Date Received:**

05/27/2016

**STATE USE ONLY:**

**3. Applicant Identifier:**

**5. Date Received by State:**

03/18/2016

**4a. Federal Entity Identifier:**

**6. State Application Identifier:**

UTG1102-03-010

**4b. Federal Award Identifier:**

P16AS00039

**1.c. Consolidated Application/Plan/Funding Request?**

- Yes
- No

Explanation:

**7. APPLICANT INFORMATION:**

**a. Legal Name:**

UTAH DIVISION OF STATE HISTORY

**b. Employer/Taxpayer Identification Number (EIN/TIN):**

87-6000545

**c. Organizational DUNS:**

1198399340000

**d. Address:**

**Street1:**

300 S RIO GRANDE STREET

**Street2:**

**City:**

SALT LAKE CITY

**County / Parish:**

**State:**

UT: Utah

**Province:**

**Country:**

USA: UNITED STATES

**Zip / Postal Code:**

84101-1182

**e. Organizational Unit:**

**Department Name:**

DEPARTMENT OF HERITAGE & ARTS

**Division Name:**

STATE HISTORY

**f. Name and contact information of person to be contacted on matters involving this submission:**

**Prefix:**

**First Name:**

Roger

**Middle Name:**

**Last Name:**

Roper

**Suffix:**

Title: Deputy SHPO/Federal Grants Manager

**Organizational Affiliation:**

**Telephone Number:**

801-245-7251

**Fax Number:**

**Email:**

rroper@utah.gov

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

8a. TYPE OF APPLICANT:

A: State Government

Other (specify):

b. Additional Description:

9. Name of Federal Agency:

National Park Service

10. Catalog of Federal Domestic Assistance Number:

15.904

CFDA Title:

Historic Preservation Fund Grants-In-Aid

11. Descriptive Title of Applicant's Project:

UTAH FY2016 HPF GRANT APPLICATION ~ State Historic Preservation Offices

12. Areas Affected by Funding:

UT ALL

13. CONGRESSIONAL DISTRICTS OF:

a. Applicant:

UT ALL

b. Program/Project:

UT ALL

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

14. FUNDING PERIOD:

a. Start Date:

10/01/2015

b. End Date:

09/30/2016

15. ESTIMATED FUNDING:

a. Federal (\$):

772,701.00

b. Match (\$):

515,134.00

16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?

a. This submission was made available to the State under the Executive Order 12372 Process for review on:

01/18/2016

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

# APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

17. Is The Applicant Delinquent On Any Federal Debt?

Yes  No

Explanation

18. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I Agree

\*\* This list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:

Mr.

First Name:

Paul

Middle Name:

Bradford

Last Name:

Westwood

Suffix:

Title:

Director, Division of State History / UTSHPD

Organizational Affiliation:

Telephone Number:

801-245-7248

Fax Number:

801-355-0587

Email:

bradwestwood@utah.gov

Signature of Authorized Representative:

Debbie Dahl

Date Signed:

05/27/2016

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

AP 42

**Consolidated Application/Plan/Funding Request Explanation:**

[Empty text area for explanation]

**APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY**

**Applicant Federal Debt Delinquency Explanation:**

[Empty text area for explanation]



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C St., S.W., Washington DC 20201

February 05, 2016

Utah Administrative Office of the Courts  
450 South State Street  
Salt Lake City, UT 84114-0241

Re: Notice of Grant Award - FY 2016

Dear Grantee:

This grant is awarded under the provisions State Court Improvement - Basic Program in accordance with Section 438 of the Social Security Act. These funds must be obligated **no later than 09/30/2017** and liquidated **no later than 12/30/2017**. Any funds that remain unobligated or unliquidated after these dates will be recouped by this agency.

Appropriation	CAN	Allotment	This Action	Cumulative
75-6-1512	2016G996437	131,852	20,148	131,852
75-6-1512	2016G996471	23,287	5,236	23,287
<b>Total</b>				<b>155,139</b>

EIN: 1-876000545-H1      Fiscal Year: 2016  
Document Number: G-1601UTSCIP      CFDA #: 93.586

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Terms and conditions can be found at: [www.acf.hhs.gov/grants/terms-and-conditions](http://www.acf.hhs.gov/grants/terms-and-conditions). Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate cash requirements necessary to carry out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to your Regional Office of the Administration for Children and Families.

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants

\*This award is the final allotment for the rest of the FY 2016. Note: Agency Review Requirements. In accordance with Federal regulations found at 2 CFR 200.205, and effective for awards issued on or after January 1, 2016, this agency is required to review the eligibility qualifications of applicants for Federal funding that exceed a specified project period amount (currently \$150,000). The Federal Awardee Performance and Integrity Information System (FAPIS), containing information from Federal awarding agencies, will be used for this purpose. Applicants and grantees are encouraged to review the information contained in FAPIS at <https://www.fapis.gov> and, if necessary, provide ACF with any comments or corrective information.



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C St., S.W., Washington DC 20201

February 05, 2016

Utah Administrative Office of the Courts  
450 South State Street  
Salt Lake City, UT 84114-0241

Re: Notice of Grant Award - FY 2016

Dear Grantee:

This grant is awarded under the provisions State Court Improvement - Data Program in accordance with Section 438 of the Social Security Act. These funds must be obligated **no later than 09/30/2017** and liquidated **no later than 12/30/2017**. Any funds that remain unobligated or unliquidated after these dates will be recouped by this agency.

Appropriation	CAN	Allotment	This Action	Cumulative
75-6-1512	2016G991512	142,857	22,387	142,857

EIN:	1-876000545-H1	Fiscal Year:	2016
Document Number:	G-1601UTSCID	CFDA #:	93.586

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Terms and conditions can be found at: [www.acf.hhs.gov/grants/terms-and-conditions](http://www.acf.hhs.gov/grants/terms-and-conditions). Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate cash requirements necessary to carry out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

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ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C St., S.W., Washington DC 20201

February 05, 2016

Utah Administrative Office of the Courts  
450 South State Street  
Salt Lake City, UT 84114-0241

Re: Notice of Grant Award - FY 2016

Dear Grantee:

This grant is awarded under the provisions State Court Improvement - Training Program in accordance with Section 438 of the Social Security Act. These funds must be obligated **no later than 09/30/2017** and liquidated **no later than 12/30/2017**. Any funds that remain unobligated or unliquidated after these dates will be recouped by this agency.

Appropriation	CAN	Allotment	This Action	Cumulative
75-6-1512	2016G991513	142,857	22,387	142,857
EIN:	1-876000545-H1	Fiscal Year:	2016	
Document Number:	G-1601UTSCIT	CFDA #:	93.586	

With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Terms and conditions can be found at: [www.acf.hhs.gov/grants/terms-and-conditions](http://www.acf.hhs.gov/grants/terms-and-conditions). Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate cash requirements necessary to carry out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to your Regional Office of the Administration for Children and Families.

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Sincerely,

Patrick A. Wells  
Director, Division of Mandatory Grants

\*This award is the final allotment for the rest of the FY 2016. Note: Agency Review Requirements. In accordance with Federal regulations found at 2 CFR 200.205, and effective for awards issued on or after January 1, 2016, this agency is required to review the eligibility qualifications of applicants for Federal funding that exceed a specified project period amount (currently \$150,000). The Federal Awardee Performance and Integrity Information System (FAPIIS), containing information from Federal awarding agencies, will be used for this purpose. Applicants and grantees are encouraged to review the information contained in FAPIIS at <https://www.fapiis.gov> and, if necessary, provide ACF with any comments or corrective information.



1. DATE ISSUED MM/DD/YYYY 06/28/2016  
 2. CFDA NO. 93.136  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 1 NU17CE924839-01-00  
 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2021

7. BUDGET PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 317(K) OF PHS ACT(42USC247B(K))

8. TITLE OF PROJECT (OR PROGRAM)  
 Core State Violence and Injury Prevention Program

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142001  
 Salt Lake City, UT 84114-2001

9b. GRANTEE PROJECT DIRECTOR  
 Trisha Keller627352  
 PO Box 142106  
 Salt Lake City, UT 84114-2106  
 Phone: 801-859-5584

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari Watkins737648  
 PO Box 142106  
 Salt Lake City, UT 84114-2106  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Jamie E Mells  
 4770 Buford Hwy  
 DARPI  
 Atlanta, GA 30341  
 Phone: 770-488-7388

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	124,959.00
b. Fringe Benefits .....	79,573.00
c. Total Personnel Costs .....	204,532.00
d. Equipment .....	0.00
e. Supplies .....	1,368.00
f. Travel .....	5,459.00
g. Construction .....	0.00
h. Other .....	12,665.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	224,024.00
k. INDIRECT COSTS	25,976.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>250,000.00</b>
m. Federal Share	250,000.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	250,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>250,000.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>250,000.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2	250,000.00	d. 5	25,000.00
b. 3	250,000.00	e. 6	
c. 4	250,000.00	f. 7	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Brownie Anderson-Rana, Grants Management Officer**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93901CU	b. 924839CE16	c. CE	d. \$18,691.00	e. 75-16-0952
22. a. 6-939ZSFU	b. 924839CE16	c. CE	d. \$45,898.00	e. 75-16-0952
23. a. 6-939ZSGX	b. 924839CE16	c. CE	d. \$36,521.00	e. 75-16-0952

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 3	DATE ISSUED 06/28/2016
GRANT NO. 1 NU17CE924839-01-00	

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 6-939ZXZK	b. 924839CE16	c. CE	d. \$148,890.00	e. 75-16-0952

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

NOTICE OF AWARD (Continuation Sheet)

PAGE 3 of 3	DATE ISSUED 06/28/2016
GRANT NO. 1 NU17CE924839-01-00	

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Federal Financial Report Cycle			
Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
08/01/2016	07/31/2017	Annual	10/29/2017
08/01/2017	07/31/2018	Annual	10/29/2018
08/01/2018	07/31/2019	Annual	10/29/2019
08/01/2019	07/31/2020	Annual	10/29/2020
08/01/2020	07/31/2021	Annual	10/29/2021

# AWARD ATTACHMENTS

Utah Department of Health

1 NU17CE924839-01-00

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1. BY 01 Terms and Conditions

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: CE16-1602**

**AWARD NUMBER: 1 U17 CE924839-01**

**AWARD TYPE: Cooperative Agreement**

**APPLICABLE REGULATIONS: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards**

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CE16-1602, entitled, "Core State Violence and Injury Prevention Program (Core SVIPP), and application dated April 8, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Grant Award (NGA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NGA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$250,000 is approved for the Year 01 budget period, which is 08/01/2016 through 07/31/2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Summary Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NGA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **9/1/2016** will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By **9/1/2016** the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

### **FUNDING RESTRICTIONS AND LIMITATIONS**

All Recipients:

- Funding is contingent upon the successful completion of stated activities.
- Recipients will be required to submit a more detailed Evaluation and Performance Measurement Plan within the first six months of the project

- Recipients should include funding for one person to attend at least one annual meeting with CDC
- Base Recipients:
- All 7 overarching strategies and 4 priority focus areas must be implemented by the recipient
  - Recipient will be held accountable for collecting and reporting on all prescribed long term outcomes
  - Optional 10% innovation submission will be negotiated with CDC input

**Indirect Costs:**

1. Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70% of the base, which includes, direct salaries and wages including all fringe benefits and total direct costs excluding capital expenditures (buildings, individual items of equipment, alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The effective dates of this indirect cost rate are from 7/1/2016 to 6/30/2018.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing,

including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2016. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by October 29, 2017. Reporting timeframe is 8/1/2016 through 7/31/2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **April 1, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:**

Domestic Organizations (***including US-based organizations implementing projects with foreign components***): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System  
Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit  
Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.frs.gov](http://www.frs.gov).

Reporting of First-Tier Sub-awards



**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C) (3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the

employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by **April 1, 2017** or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **U17 CE924839**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health

and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent

for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an

employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

- (i) Relates to an activity of an element of the intelligence community; or
- (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

### 3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

### 3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

**Grant Document Number: 924839CE16**  
**Subaccount Title: CE161602COOPAGREEM16**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NGA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NGA, including revisions to the NGA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day



management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Financial Contact:**

LaQuanda Lewis, Grants Management Specialist  
Centers for Disease Control  
Office of Financial Resources  
Telephone: 770-488-2969  
Email: [LLewis3@cdc.gov](mailto:LLewis3@cdc.gov)

**Financial Contact:**

Brownie Anderson-Rana  
Grants Management Officer  
Centers for Disease Control  
Office of Financial Resources  
Telephone: 770-488-2771  
Email: [BAAndersonRana@cdc.gov](mailto:BAAndersonRana@cdc.gov)

1. DATE ISSUED MM/DD/YYYY 06/29/2016  
 2. CFDA NO. 93.184  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 Sections 317C [42 U.S.C. 247b-4] of the Public Health Service Act.

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 1 NU27DD000003-01-00  
 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2021

7. BUDGET PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 Improving the Health of People with Mobility Limitations and Intellectual Disabilities through State-based Public Health Programs in Utah

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142001  
 Salt Lake City, UT 84114-2001

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Heather R. Borski  
 PO Box 142001  
 Disease Control and Preventio  
 Salt Lake City, UT 84114-2001  
 Phone: (801) 538-9998

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Joann Thierry  
 Centers for Disease Control and Prevention  
 NCBDDD  
 Atlanta, GA 30333  
 Phone: 404-498-3022

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	44,465.00
b. Fringe Benefits .....	25,790.00
c. Total Personnel Costs .....	70,255.00
d. Equipment .....	0.00
e. Supplies .....	600.00
f. Travel .....	6,376.00
g. Construction .....	0.00
h. Other .....	5,623.00
i. Contractual .....	58,224.00
j. TOTAL DIRECT COSTS →	141,078.00
k. INDIRECT COSTS	8,922.00
l. TOTAL APPROVED BUDGET	150,000.00
m. Federal Share	150,000.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	150,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	150,000.00
13. Total Federal Funds Awarded to Date for Project Period	150,000.00

14. RECOMMENDED FUTURE SUPPORT <i>(Subject to the availability of funds and satisfactory progress of the project):</i>			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Roslyn Curington, Grants Management Officer

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZRCJ	b. 16NU27DD000003	c. DD	d. \$150,000.00	e. 75-16-0958
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

# AWARD ATTACHMENTS

Utah Department of Health

1 NU27DD000003-01-00

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1. Terms and Conditions
2. Summary Statement

Funding Opportunity Announcement (FOA) Number: CDC-RFA-DD16-1603

Award Number: 1 NU27DD000003-01-00

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CDC-RFA-DD16-1603, entitled Improving the Health of People with Mobility Limitations and Intellectual Disabilities through State-based Public Health Programs, and application dated April 19, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$150,000 is approved for the Year 01 budget period, which is July 1, 2016 through June 30, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, July 31, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## FUNDING RESTRICTIONS AND LIMITATIONS

### Indirect Costs:

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.7% of the base, which includes, Direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

### Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by September 29, 2016. Reporting timeframe is July 1, 2016 through June 30, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:**

Domestic Organizations (**including US-based organizations implementing projects with foreign components**): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The



term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.

- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions

- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, DD000003, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

- (1) DoD, NASA, and the Coast Guard; or
- (2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-
  - (i) Relates to an activity of an element of the intelligence community; or
  - (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: 16NU27DD000003

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business

and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Joann Thierry, Project Officer  
Centers for Disease Control  
National Center on Birth Defects and Developmental Disabilities  
4770 Buford Hwy MS-E88  
Atlanta, GA 30341  
Telephone: 770-488-0270  
Email: [jxt4@cdc.gov](mailto:jxt4@cdc.gov)

**GMS Contact:**

Carmen Davis, Grants Management Specialist  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
2920 Brandywine Rd. MS E-09  
Atlanta, GA 30341  
Telephone: 770-488-2723  
Email: [cjdavis@cdc.gov](mailto:cjdavis@cdc.gov)

**GMO Contact:**

Roslyn Curington, Grants Management Officer  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
2920 Brandywine Rd. MS E-09  
Atlanta, GA 30341  
Telephone: 770-488-2832  
Email: [rcurington@cdc.gov](mailto:rcurington@cdc.gov)

**SUMMARY STATEMENT**  
**CDC-RFA-DD16-1603: Improving the Health of People with Mobility Limitations and Intellectual Disabilities through State-based Public Health Programs**  
**June 16, 2016**  
**Utah Department of Health**

PI: Heather Borski  
Funds Requested: \$150,000  
Average Total Score: 91.13  
Recommendation: Approve

**I. BRIEF SUMMARY OF APPLICATION:**

The Utah Department of Health-Bureau of Health Promotion (BHP) proposes to improve the quality of life (through inclusion and accessibility) and reduce health disparities for people with mobility limitations (ML) and/or intellectual disabilities (ID). The Utah Department of Health has identified the agency's top priority health measures and, based on this analysis, plans to highlight tobacco and obesity in their proposed project. The Utah Department of Health Promotion has outlined a plan to improve inclusion and accessibility and reduce health disparities for people with ID and/or ML through a well-planned selection of strategies and activities addressing capacity, partnerships, health promotion resources, tools, and policy, systems, and environmental changes. In addition, the applicant proposes to provide training and education to project staff, enhance and utilize data to identify patterns of health care utilization, and evaluate program impact.

**II. OVERALL STRENGTHS:**

The applicant demonstrates knowledge of the data related to individuals with ML/ID in their state and recognizes the need for targeted programming for this population. The applicant proposes the development of the Utah Disability Advisory Committee, which includes people with ID/ML, to ensure the needs of people with disabilities are voiced throughout the project. Because of the complexity and the increasing numbers of people with disabilities in Utah requiring services, a number of diverse partners have combined efforts to plan, implement, evaluate, and disseminate activities aimed at promoting inclusion and accessibility and reducing health disparities.

A detailed performance measurement plan, logic model and work plan were provided that aligns with a series of reasonable and achievable strategies and activities. Target populations have been clearly identified. Short term, intermediate and long term outcomes were consistent with the goals and objectives of the funding opportunity announcement and were presented in a manner that included collaborations with new community/state partners. Examples of current chronic disease programming were provided as evidence of their ability to develop and implement strategies in collaboration with partners. Objectives and strategies in the work plan appear to be appropriate to achieve the outcomes of the project and are evidence based.

The applicant includes information on how their organization is uniquely positioned to implement the proposed project. The Utah Department of Health has previous experience in working with people with disabilities and the Bureau of Health Promotion has extensive expertise in the areas of policy, environmental, programmatic and infrastructure change. The staff of the UDHP will utilize results from their progress monitoring activities to inform and



strengthen the program's implementation strategies to better accomplish long-term health outcomes. Utah included an organizational chart and an outline of position descriptions for the proposed project. Organizational capacity was clearly demonstrated.

Utah plans to convene an Evaluation Group to ensure the ongoing refinement/revision of the evaluation plan. The group will review the proposed data collection methods and procedures, identify gaps in data collection, and use these data to refine/revise program activities. Utah notes that the data collected from the evaluation may be used as part of the emerging evidence-base for specific programs and/or interventions.

### **III. OVERALL WEAKNESSES:**

A few weaknesses were noted. Utah proposes to provide support and resources to the State DD Council. However, it is not clear what type of support or resources will be provided and, if these items are financial, this information is missing from the budget narrative. Although the purpose of an evaluation and performance measurement plan was clearly documented, methods for developing and updating the evaluation and performance plan were lacking. In addition, the applicant does not indicate how the data will be analyzed nor do they state any specific evaluation questions. Finally, the application is ambitious for the amount of funds requested. They may want to consider scaling back to ensure resources are allocated in the most efficient way possible.

### **IV. OTHER RELEVANT COMMENTS:**

None.

### **V. OVERALL RECOMMENDATIONS:**

If funded, the applicant should include specific information on plans to analyze available data and what evaluation questions will be addressed. They should also clarify what resources and/or financial support will be provided to the state DD Council.

1. DATE ISSUED MM/DD/YYYY 10/28/2016  
 2. CFDA NO. 93.270  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
 Sections 301 and 317N of the Public Health Service Act (42 U.S.C. section 241 and 247b-15, as amended)

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

4. GRANT NO. 1 NU51PS005081-01-00  
 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 11/01/2016 Through 10/31/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 11/01/2016 Through 10/31/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 Improving Hepatitis B and C Care Cascades; Focus on Increased Testing and Diagnosis

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Cristie Chesler  
 288 North 1460 West Box 142104  
 Salt Lake City, UT 84114-2014  
 Phone: 801-538-9465

10a. GRANTEE AUTHORIZING OFFICIAL  
 Mrs. Shari Watkins  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6936

10b. FEDERAL PROJECT OFFICER  
 Gilberto Ramirez  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 404-718-8596

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	0.00
b. Fringe Benefits .....	0.00
c. Total Personnel Costs .....	0.00
d. Equipment .....	0.00
e. Supplies .....	0.00
f. Travel .....	0.00
g. Construction .....	0.00
h. Other .....	41,963.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	41,963.00
k. INDIRECT COSTS	0.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>41,963.00</b>
m. Federal Share	41,963.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>			
a. Amount of Federal Financial Assistance (from item 11m)	41,963.00		
b. Less Unobligated Balance From Prior Budget Periods	0.00		
c. Less Cumulative Prior Award(s) This Budget Period	0.00		
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>41,963.00</b>		
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>41,963.00</b>		
<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	
<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<b>b</b>	
a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)			
<b>16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:</b>			
a. The grant program legislation b. The grant program regulations. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.			
In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.			

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Gladys Gissentanna, Grants Management Officer

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 7-9391080	b. 005081PS17	c. 93.270	d. PS	e. \$4,000.00	f. 75-17-0950
22. a. 7-939ZRPQ	b. 005081PS17	c. 93.270	d. PS	e. \$18,981.00	f. 75-17-0950
23. a. 7-939ZYLM	b. 005081PS17	c. 93.270	d. PS	e. \$18,982.00	f. 75-17-0950

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 10/28/2016
GRANT NO. 1 NU51PS005081-01-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

1 NU51PS005081-01-00

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1. PS5081 TC

Funding Opportunity Announcement (FOA) Number: PS17-1702  
Award Number: U51PS005081-01  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number **PS17-1702**, entitled **Improving Hepatitis B and C Care Cascades; Focus on Increased Testing and Diagnosis**, and application dated August 1, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$83,926** is approved for the Year 01 budget period, which is **November 1, 2016** through **October 31, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Available Funding:** The CDC is operating under a continuing resolution; as a result, the total available funding for the Fiscal Year (FY) 2017 budget period is contingent upon the enactment of applicable appropriation bill(s). Partial funding in the amount of **\$41,963** in Financial Assistance (FA) is awarded on this NoA. The remainder of the budget period Approved Funding amount is subject to the availability of funds.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Objective Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **December 1, 2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By **December 1, 2016** the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

### FUNDING RESTRICTIONS AND LIMITATIONS

**Instructions: Insert the necessary information in the Content Control boxes. Remove italicized, bold text (including header text) and terms not applicable to the Notice of Award being generated. Do not delete any other language in the template.**

#### **Indirect Costs:**

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70% of the base, which includes, direct salaries and wages and all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

**Instructions: Insert the necessary information in the Content Control boxes. Remove italicized, bold text (including header text) and terms not applicable to the Notice of Award being generated. Do not delete any other language in the template.**

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

Fiscal Year (FY) **2017** funds will expire **September 30, 2021**. All FY **2017** funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, **2021**. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by **January 31, 2018**. Reporting timeframe is **November 1, 2016** through **October 31, 2017**.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **July 1, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

### **Audit Requirement:**

Domestic Organizations (**including US-based organizations implementing projects with foreign components**): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a

***Instructions: Insert the necessary information in the Content Control boxes. Remove italicized, bold text (including header text) and terms not applicable to the Notice of Award being generated. Do not delete any other language in the template.***

data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.



**Instructions: Insert the necessary information in the Content Control boxes. Remove italicized, bold text (including header text) and terms not applicable to the Notice of Award being generated. Do not delete any other language in the template.**

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;

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- Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at <http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html> . In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by **July 1, 2017** or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must

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include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, NU51PS005081-01, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting

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author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that

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pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to

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a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)

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If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “**P Account**”. A **P Account** is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

**Grant Document Number: 005081PS17**  
**Subaccount Title: PS171702COOPAGREFY17**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## **CDC ROLES AND RESPONSIBILITIES**

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy

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- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

**Constance Jarvis**, Grants Management Officer  
Infectious Disease Services Branch (IDSB)  
Office of Grants Services (OGS)  
Centers for Disease Control and Prevention (CDC)  
1600 Clifton Road  
Mail Stop E-15  
Atlanta, GA 30329-4018  
**Telephone:** 770-488-5859  
**Fax:** 770-488-8350  
**Email:** abq3@cdc.gov

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:**

**Valerie McCloud**, Grants Management Specialist  
Infectious Disease Services Branch (IDSB)  
Office of Grants Services (OGS)  
Centers for Disease Control and Prevention (CDC)  
1600 Clifton Road  
Mail Stop E-15  
Atlanta, GA 30329-4018  
**Telephone:** 770-488-4790  
**Fax:** 770-488-8350  
**Email:** fyq4@cdc.gov

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission



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- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

**Gilberto Ramirez**, Project Officer  
Division of Viral Hepatitis (DVH)  
National Center for HIV/AIDS,  
Viral Hepatitis, STD, and TB Prevention (NCHSSTB)  
Centers for Disease Control and Prevention (CDC)  
1600 Clifton Road  
Mail Stop G-37  
Atlanta, GA 30329-4018  
**Telephone:** 404-718-8535  
**Fax:** (404) 718-8595  
**Email:** ghr0@cdc.gov

<b>1. DATE ISSUED:</b> 07/07/2016		<b>2. PROGRAM CFDA:</b> 93.110	
<b>3. SUPERSEDES AWARD NOTICE dated:</b> except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.			
<b>4a. AWARD NO.:</b> 2 H25MC00268-12-00		<b>4b. GRANT NO.:</b> H25MC00268	<b>5. FORMER GRANT NO.:</b>
<b>6. PROJECT PERIOD:</b> <b>FROM:</b> 07/01/2003 <b>THROUGH:</b> 07/31/2021			
<b>7. BUDGET PERIOD:</b> <b>FROM:</b> 08/01/2016 <b>THROUGH:</b> 07/31/2017			



**NOTICE OF AWARD**  
**AUTHORIZATION (Legislation/Regulation)**  
 Public Health Service Act, Section 1252, as amended, Public Law 104-166, 42 U.S.C. 300d-52  
 Social Security Act § 501(a)(2-3), 42 U.S.C. § 701(a)(2-3)  
 Title V, § 501(a)(3)(c) of the Social Security Act as amended, (42 U.S.C. 701(a)(3)(c))  
 Title V, § 501(a)(3)(C) of the Social Security Act as amended (42 U.S.C. 701(a)(3)(C))

**8. TITLE OF PROJECT (OR PROGRAM):** CISS - SECCS (PLANNING)

**9. GRANTEE NAME AND ADDRESS:**  
 UTAH DEPARTMENT OF HEALTH  
 Division Line: Office of Primary Care and Rural Health  
 PO BOX 144003  
 Salt Lake City, UT 84114-4003  
**DUNS NUMBER:**  
 959347972

**10. DIRECTOR: (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR)**  
 Carolyn Christensen  
 UTAH DEPARTMENT OF HEALTH  
 3760 Highland Drive  
 Salt Lake City, UT 84106

**11. APPROVED BUDGET:**(Excludes Direct Assistance)  
 Grant Funds Only  
 Total project costs including grant funds and all other financial participation

a. Salaries and Wages :	\$52,260.00
b. Fringe Benefits :	\$25,740.00
c. Total Personnel Costs :	\$78,000.00
d. Consultant Costs :	\$0.00
e. Equipment :	\$0.00
f. Supplies :	\$16,628.00
g. Travel :	\$10,891.00
h. Construction/Alteration and Renovation :	\$0.00
i. Other :	\$0.00
j. Consortium/Contractual Costs :	\$314,682.00
k. Trainee Related Expenses :	\$0.00
l. Trainee Stipends :	\$0.00
m. Trainee Tuition and Fees :	\$0.00
n. Trainee Travel :	\$0.00
o. TOTAL DIRECT COSTS :	\$420,201.00
p. INDIRECT COSTS (Rate: % of S&W/TADC) :	\$6,399.00
q. TOTAL APPROVED BUDGET :	\$426,600.00
i. Less Non-Federal Share:	\$0.00
ii. Federal Share:	\$426,600.00

**12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE:**

a. Authorized Financial Assistance This Period	<b>\$426,600.00</b>
b. Less Unobligated Balance from Prior Budget Periods	
i. Additional Authority	\$0.00
ii. Offset	\$0.00
c. Unawarded Balance of Current Year's Funds	\$0.00
d. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	<b>\$426,600.00</b>

**13. RECOMMENDED FUTURE SUPPORT:** (Subject to the availability of funds and satisfactory progress of project)

YEAR	TOTAL COSTS
13	\$426,600.00
14	\$426,600.00
15	\$426,600.00
16	\$426,600.00

**14. APPROVED DIRECT ASSISTANCE BUDGET:**(In lieu of cash)

a. Amount of Direct Assistance	\$0.00
b. Less Unawarded Balance of Current Year's Funds	\$0.00
c. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION	<b>\$0.00</b>

**15. PROGRAM INCOME SUBJECT TO 45 CFR 75.307 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**  
**A=Addition B=Deduction C=Cost Sharing or Matching D=Other** **[A]**  
 Estimated Program Income: \$0.00

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS 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 cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 75 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS:** (Other Terms and Conditions Attached Yes No)  
 Competing Continuation (Type Code: 2).

*Electronically signed by Stephannie Young , Grants Management Officer on : 07/07/2016*

<b>17. OBJ. CLASS:</b> 41.51	<b>18. CRS-EIN:</b> 1876000545C1	<b>19. FUTURE RECOMMENDED FUNDING:</b> \$0.00
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FY-CAN	CFDA	DOCUMENT NO.	AMT. FIN. ASST.	AMT. DIR. ASST.	SUB PROGRAM CODE	SUB ACCOUNT CODE
16 - 3892050	93.110	16H25MC00268	\$425,793.00	\$0.00		CISS16
14 - 3892050	93.110	16H25MC00268	\$807.00	\$0.00	N/A	CISS16



## HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPSExternal/Interface/common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-Go4-HRSA/877-464-4772.

## Terms and Conditions

**Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.**

### Grant Specific Term(s)

1. Effective December 26, 2014, all references to OMB Circulars for the administrative and audit requirements and the cost principles that govern Federal monies associated with this award are superseded by the Uniform Guidance 2 CFR 200 as codified by HHS at 45 CFR 75.
2. The funds for this award are sub-accounted in the Payment Management System (PMS) and will be in a P type (sub accounted) account. This type of account allows recipients to specifically identify the individual grant for which they are drawing funds and will assist HRSA in monitoring the award. If your organization previously received a grant under this program, it was in a G type (cash pooled) account designated by a PMS Account Number ending in G or G1. Now that this grant is sub accounted the PMS Account Number will be changed to reflect either P or P1. For example, if the prior year grant was in payee account number 2AAG it will now be in 2AAP. Similarly, if the prior year grant was in payee account 2AAG1, the grant will be in payee account 2AAP1. The P sub account number and the sub account code (provided on page 1 of this Notice of Award) are both needed when requesting grant funds.  
You may use your existing PMS username and password to check your organizations P account access. If you do not have access, complete a PMS Access Form (PMS/FFR Form) found at: [http://www.dpm.psc.gov/grant\\_recipient/grantee\\_forms.aspx](http://www.dpm.psc.gov/grant_recipient/grantee_forms.aspx) and send it to the fax number indicated on the bottom of the form. If you have any questions about accessing PMS, contact the PMS Liaison Accountant as identified at: <http://www.dpm.psc.gov/contacts/contacts.aspx>.
3. All post-award requests, such as significant budget revisions or a change in scope, must be submitted as a Prior Approval action via the Electronic Handbooks (EHBs) and approved by HRSA prior to implementation. Grantees under "Expanded Authority," as noted in the Remarks section of the Notice of Award, have different prior approval requirements. See "Prior-Approval Requirements" in the DHHS Grants Policy Statement: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>
4. The requirements of 48 CFR section 3.908 (found at <http://www.ecfr.gov>) implementing section 828 of the National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections" apply to this award. This notice requires that grantees inform their employees in writing of employee whistleblower rights and protections under 41 U.S.C. 4712 in the predominant native language of the workforce. The details of 41 U.S.C. 4712 can be found at <http://uscode.house.gov/browse.xhtml>. (regarding 48 CFR section 3.908, note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term, should read as "grant," "grantee," "subgrant," or "subgrantee").
5. This Notice of Award provides the offset of an unobligated balance in the amount of \$807 from the 08/01/2014-07/31/2015 budget period into the current budget period. Please be advised that if the final resolution of the audit determines that the unobligated balance of Federal Funds is incorrect, HRSA is not obligated to make additional Federal Funds available to cover the shortfall.

### Program Specific Term(s)

1.

A. Grantees must partner with a state/territory Advisory Team that provides leadership in implementing the policies and practices necessary to carry out systems work in their respective state/territory organizations and recommends state/territorial-wide system change as a result of the ECCS Collaborative Innovation and Improvement Network (CoIIN) results. Key leaders represented on the state/territory Advisory Team should include:

- The Governor's Office;
- Maternal, Infant and Early Childhood Home Visiting Program;
- Early Childhood Advisory Council/System;
- Title V leadership;
- Family engagement;
- Public and private primary health;
- Mental health service providers;
- Early childhood education representatives; and
- Designated leader(s) from each selected place-based community.

Grantees must select at least one (1) and up to five (5) place-based communities that are willing and available for participation in ECCS CoIIN cohorts. Grantees must submit a Memorandum of Understanding (MOU), contract, or another formal relationship with each community selected indicating agreement to participate in ECCS CoIIN cohorts, activities required of the cohort members; and any deliverables. The MOU, contract or other formal document is to be submitted to HRSA within 90 days of the award notice.

B. Grantees must develop teams within its place-based communities to participate in the CoIIN activities described below. Each community team should include:

- The ECCS Impact Project Director or his/her designee
- The following representatives from the place-based community:
  - i. Mayor's office; City Council office or other official governing body for the place-based community;
  - ii. Family engagement;
  - iii. Public and private primary health care;
  - iv. Mental health representatives; and
  - v. Early childhood education representatives.
  - vi. Other representatives from the recipient organization and/or the place-based communities also may be included on the team at the discretion of the recipient.

C. Grantees must identify, implement and, if necessary, build a state/territory EC data system for collection and reporting of EC core process and outcome indicators that will be developed or integrated within an existing early childhood data system during the CoIIN process.

D. Grantees must develop state-level ECCS leadership and capacity to facilitate CoIIN implementation and spread.

E. Grantees must participate in all CoIIN virtual sessions facilitated by the ECCS CoIIN Coordination Center and attend at least one on site, in person, learning collaborative facilitated by the ECCS CoIIN Coordination Center and ensure the community teams attend at least one on site, in person, learning collaborative facilitated by the ECCS CoIIN Coordination Center.

F. Grantees must attend at least one ECCS Impact recipient annual meeting in person.

G. Grantees must develop and implement a programmatic and financial sustainability plan to continue activities beyond the duration of the ECCS Impact project period and to engage additional place-based communities within the state/territory to replicate ECCS CoIIN activities for improvement in children's developmental health and family well-being.

H. Grantees must ensure that Community CoIIN Teams meet the following requirements during the course of the award to:

- become knowledgeable with the science of continuous quality improvement(CQI) and CoIIN processes;
- participate in a CoIIN, committing to a working period of 48-60 months (three successive 18-month cohorts consisting of one to five communities per participating state/territory), to implement a two-generation approach to improving children's developmental health and family well-being;

- attend at least one on site, in person, CoIIN learning collaborative facilitated by the ECCS CoIIN Coordination Center;
  - identify gaps and barriers to attaining the aim of this program and identify state and community policies and procedures that require immediate and longer term attention to ensure EC systems function effectively and achieve measureable outcomes in the improvement of children's healthy development and family well-being;
  - adopt the ECCS Impact's aim and develop SMART Goals for ECCS CoIIN work for two-generation approaches to children's developmental health and family wellbeing;
  - submit monthly data and Plan, Do, Study, Act (PDSA) cycle reports;
  - share progress reports monthly with CoIIN peers representing other recipients and CoIIN faculty;
  - participate in peer-to-peer mentoring and sharing of ideas and insights via periodic conference calls and other forms of communication; and
  - explore new innovative improvement approaches as they become available.
- I. Grantees must develop and implement a plan to facilitate collective impact at the 1) state, 2) county, and 3) community levels, as well as 4) across all three levels.
- J. Grantees must participate in regular monitoring activities with their Health Resources and Services Administration Project Officers. These monitoring activities will include emails, site visits, and regularly scheduled conference calls. Topics covered will include administration, program activities, technical assistance, and evaluation procedures.
- K. Funds awarded to any sub-contractor, sub-recipient or recipient by the Department of Health and Human Services shall not be expended for research involving human subjects, and individuals shall not be enrolled in such research without an assurance by the Office of Human Research Protections (<http://www.hhs.gov/ohrp/about/index.html>) that the studies comply with the requirements of 45 CFR Part 46 to protect Human Research subjects. This restriction applies to all collaborating sites without OHRP Approved Assurances, whether domestic or foreign; compliance must be ensured by the awardee.

## Standard Term(s)

1. Recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions outlined in applicable Department of Health and Human Services (HHS) Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts.
2. All discretionary awards issued by HRSA on or after October 1, 2006, are subject to the HHS Grants Policy Statement (HHS GPS) unless otherwise noted in the Notice of Award (NoA). Parts I through III of the HHS GPS are currently available at <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>. Please note that the Terms and Conditions explicitly noted in the award and the HHS GPS are in effect.
3. HRSA requires grantees to use the following acknowledgement and disclaimer on all products produced by HRSA grant funds:
 

*"This project is/was supported by the Health Resources and Services Administration (HRSA) of the U.S. Department of Health and Human Services (HHS) under grant number and title for grant amount (specify grant number, title, total award amount and percentage financed with nongovernmental sources). This information or content and conclusions are those of the author and should not be construed as the official position or policy of, nor should any endorsements be inferred by HRSA, HHS or the U.S. Government."*

 Grantees are required to use this language when issuing statements, press releases, requests for proposals, bid solicitations, and other HRSA supported publications and forums describing projects or programs funded in whole or in part with HRSA funding. Examples of HRSA-supported publications include, but are not limited to, manuals, toolkits, resource guides, case studies and issues briefs.
4. Recipients and sub-recipients of Federal funds are subject to the strictures of the Medicare and Medicaid anti-kickback statute (42 U.S.C. 1320a - 7b(b) and should be cognizant of the risk of criminal and administrative liability under this statute, specifically under 42 U.S.C. 1320 7b(b) illegal remunerations which states, in part, that whoever knowingly and willfully: (A) Solicits or receives (or offers or pays) any remuneration (including kickback, bribe, or rebate) directly or indirectly, overtly or covertly, in cash or in kind, in return for referring (or to induce such person to refer) an individual to a person for the furnishing or arranging for the furnishing of any item or service, OR (B) In return

for purchasing, leasing, ordering, or recommending purchasing, leasing, or ordering, or to purchase, lease, or order, any goods, facility, services, or item ....For which payment may be made in whole or in part under subchapter XIII of this chapter or a State health care program, shall be guilty of a felony and upon conviction thereof, shall be fined not more than \$25,000 or imprisoned for not more than five years, or both.

5. Items that require prior approval from the awarding office as indicated in 45 CFR Part 75 [Note: 75 (d) HRSA has not waived cost-related or administrative prior approvals for recipients unless specifically stated on this Notice of Award] or 45 CFR Part 75 must be submitted in writing to the Grants Management Officer (GMO). Only responses to prior approval requests signed by the GMO are considered valid. Grantees who take action on the basis of responses from other officials do so at their own risk. Such responses will not be considered binding by or upon the HRSA.  
In addition to the prior approval requirements identified in Part 75, HRSA requires grantees to seek prior approval for significant rebudgeting of project costs. Significant rebudgeting occurs when, under a grant where the Federal share exceeds \$100,000, cumulative transfers among direct cost budget categories for the current budget period exceed 25 percent of the total approved budget (inclusive of direct and indirect costs and Federal funds and required matching or cost sharing) for that budget period or \$250,000, whichever is less. For example, under a grant in which the Federal share for a budget period is \$200,000, if the total approved budget is \$300,000, cumulative changes within that budget period exceeding \$75,000 would require prior approval). For recipients subject to 45 CFR Part 75, this requirement is in lieu of that in 45 CFR 75 which permits an agency to require prior approval for specified cumulative transfers within a grantee's approved budget. [Note, even if a grantee's proposed rebudgeting of costs falls below the significant rebudgeting threshold identified above, grantees are still required to request prior approval, if some or all of the rebudgeting reflects either a change in scope, a proposed purchase of a unit of equipment exceeding \$25,000 (if not included in the approved application) or other prior approval action identified in Part 75 unless HRSA has specifically exempted the grantee from the requirement(s).]
6. Payments under this award will be made available through the DHHS Payment Management System (PMS). PMS is administered by the Division of Payment Management, Financial Management Services, Program Support Center, which will forward instructions for obtaining payments. Inquiries regarding payments should be directed to: ONE-DHHS Help Desk for PMS Support at 1-877-614-5533 or [PMSSupport@psc.hhs.gov](mailto:PMSSupport@psc.hhs.gov). For additional information please visit the Division of Payment Management Website at [www.DPM.PSC.GOV](http://www.DPM.PSC.GOV).
7. The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous. Contact: Office of Inspector General, Department of Health and Human Services, Attention: HOTLINE, 330 Independence Avenue Southwest, Cohen Building, Room 5140, Washington, D. C. 20201, Email: [Htips@os.dhhs.gov](mailto:Htips@os.dhhs.gov) or Telephone: 1-800-447-8477 (1-800-HHS-TIPS).
8. Submit audits, if required, in accordance with 45 CFR Part 75, to: Federal Audit Clearinghouse Bureau of the Census 1201 East 10th Street Jefferson, IN 47132 PHONE: (310) 457-1551(310) 457-1551, (800)253-0696(800)253-0696 toll free <http://harvester.census.gov/sac/faconta.htm>
9. EO 13166, August 11, 2000, requires recipients receiving Federal financial assistance to take steps to ensure that people with limited English proficiency can meaningfully access health and social services. A program of language assistance should provide for effective communication between the service provider and the person with limited English proficiency to facilitate participation in, and meaningful access to, services. The obligations of recipients are explained on the OCR website at <http://www.hhs.gov/ocr/lep/revisedlep.html>.
10. This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.hrsa.gov/grants/trafficking.htm>. If you are unable to access this link, please contact the Grants Management Specialist identified in this Notice of Award to obtain a copy of the Term.
11. The Consolidated Appropriations Act, 2016, Division H, § 202, (P.L.114-113) enacted December 18, 2015, limits the salary amount that may be awarded and charged to HRSA grants and cooperative agreements to the Federal Executive Pay Scale Level II rate set at \$185,100, effective January 10, 2016. This amount reflects an individual's base salary exclusive of fringe benefits. An individual's institutional base salary is the annual compensation that the recipient organization pays an individual and excludes any income an individual may be permitted to earn outside the applicant organization duties. HRSA funds may not be used to pay a salary in excess of this rate. This salary limitation also applies to sub-recipients under a HRSA grant or cooperative agreement. The salary limitation does not apply to payments made to consultants under this award although, as with all costs, those payments must meet the test of reasonableness and be consistent with recipient's institutional policy. None of the awarded funds may be used to pay an individual's salary at a rate in excess of the salary limitation. Note: an individual's base salary, per se, is NOT constrained by the legislative provision for a limitation of salary. The rate limitation simply limits the amount that may be awarded and charged to HRSA grants and cooperative agreements.
12. To serve persons most in need and to comply with Federal law, services must be widely accessible. Services must not discriminate on the basis of age, disability, sex, race, color, national origin or religion. The HHS Office for Civil Rights provides guidance to grant and cooperative agreement recipients on complying with civil rights laws that prohibit discrimination on these bases. Please see <http://www.hhs.gov/civil-rights/for-individuals/index.html>. HHS also provides specific guidance for recipients on meeting their legal obligation under Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in programs and activities that receive Federal financial assistance (P. L. 88-352, as amended and 45 CFR Part

75). In some instances a recipient's failure to provide language assistance services may have the effect of discriminating against persons on the basis of their national origin. Please see <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html> to learn more about the Title VI requirement for grant and cooperative agreement recipients to take reasonable steps to provide meaningful access to their programs and activities by persons with limited English proficiency.

13. Important Notice: The Central Contractor registry (CCR) has been replaced. The General Services Administration has moved the CCR to the System for Award Management (SAM) on July 30, 2012. To learn more about SAM please visit <https://www.sam.gov>.

It is incumbent that you, as the recipient, maintain the accuracy/currency of your information in the SAM at all times during which your entity has an active award or an application or plan under consideration by HRSA, unless your entity is exempt from this requirement under 2 CFR 25.110. Additionally, this term requires your entity to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information. This requirement flows down to subrecipients. Note: SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients). Grants.gov will reject submissions from applicants with expired registrations. It is advisable that you do not wait until the last minute to register in SAM or update your information. According to the SAM Quick Guide for Grantees ([https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)), an entity's registration will become active after 3-5 days. Therefore, check for active registration well before the application deadline.

14.

In any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, grantees must treat same-sex spouses, marriages, and households on the same terms as opposite-sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage. This term applies to all grant programs except block grants governed by 45 CFR part 96 or 45 CFR Part 98, or grant awards made under titles IV-A, XIX, and XXI of the Social Security Act; and grant programs with approved deviations.

## Reporting Requirement(s)

### 1. Due Date: Within 120 Days of Award Issue Date

The grantee must submit a Performance Report within 120 days after receipt of the NoA. This report should include completing the financial forms, project abstract, grant summary and performance measures. The performance report must be submitted using the Electronic Handbook (EHB).

### 2. Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due Quarter End Date after 90 days of reporting period.

The grantee must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period and must be submitted using the Electronic Handbooks (EHBs). The FFR due dates have been aligned with the Payment Management System quarterly report due dates, and will be due 90, 120, or 150 days after the budget period end date. Please refer to the chart below for the specific due date for your FFR:

- Budget Period ends August – October: FFR due January 30
- Budget Period ends November – January: FFR due April 30
- Budget Period ends February – April: FFR due July 30
- Budget Period ends May – July: FFR due October 30

**Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.**

## Contacts

### NoA Email Address(es):

Name	Role	Email
Judy L Morrison	Authorizing Official	<a href="mailto:jmorrison@utah.gov">jmorrison@utah.gov</a>
Carolyn Christensen	Program Director	<a href="mailto:carolynchristensen@utah.gov">carolynchristensen@utah.gov</a>
Shari Watkins	Authorizing Official	<a href="mailto:swatkins@utah.gov">swatkins@utah.gov</a>
Carolyn T Christensen	Point of Contact	<a href="mailto:carolynchristensen@utah.gov">carolynchristensen@utah.gov</a>
Sam Lee	Authorizing Official	<a href="mailto:rtn.samlee@gmail.com">rtn.samlee@gmail.com</a>

Note: NoA emailed to these address(es)



**Program Contact:**

For assistance on programmatic issues, please contact Barbara Hamilton at:  
MailStop Code: 10-86  
DHVECS  
5600 Fishers Ln  
Rockville, MD, 20852-1750  
Email: bhamilton@hrsa.gov  
Phone: (301) 443-8939

**Division of Grants Management Operations:**

For assistance on grant administration issues, please contact Denise Boyer at:  
MailStop Code: 10W-05D  
Maternal Child and Health Systems Branch  
5600 Fishers Lane  
RM 10W-05D  
Rockville, MD, 20852-1750  
Email: DBoyer@hrsa.gov  
Phone: (301) 594-4256  
Fax: (301) 594-4073

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1. DATE ISSUED MM/DD/YYYY 07/06/2016 | 2. CFDA NO. 93.314 | 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
307 PHSA (42 U.S.C. SECTION 2421)

1a. SUPERSEDES AWARD NOTICE dated  
except that any additions or restrictions previously imposed remain  
in effect unless specifically rescinded

4. GRANT NO. 2 NUR3DD000821-06-00  
Formerly 5UR3DD000821-05 | 5. ACTION TYPE  
Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
From 07/01/2016 Through 06/30/2017

7. BUDGET PERIOD MM/DD/YYYY  
From 07/01/2016 Through 06/30/2017

8. TITLE OF PROJECT (OR PROGRAM)  
Utah EHDI-IS Surveillance Program Development, Maintenance and Enhancement

9a. GRANTEE NAME AND ADDRESS  
Utah Department of Health  
288 N 1460 W  
Family Health & Preparedness  
SALT LAKE CITY, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
Stephanie McVicar  
Post Office Box 144620  
Salt Lake City, UT 84114-4620  
Phone: 801-584-8218

10a. GRANTEE AUTHORIZING OFFICIAL  
Ms. Shari A. Watkins  
288 North 1460 West  
Salt Lake City, UT 84116-2101  
Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
Deidra Green  
1600 Clifton Rd  
Atlanta, GA 30333  
Phone: 404-498-3950

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	41,675.00
b. Fringe Benefits .....	27,605.00
c. Total Personnel Costs .....	69,280.00
d. Equipment .....	0.00
e. Supplies .....	144.00
f. Travel .....	2,260.00
g. Construction .....	0.00
h. Other .....	6,068.00
i. Contractual .....	63,450.00
j. TOTAL DIRECT COSTS →	141,202.00
k. INDIRECT COSTS	8,798.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>150,000.00</b>
m. Federal Share	150,000.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	150,000.00
b. Less Unobligated Balance From Prior Budget Periods	33,046.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>116,954.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>116,954.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 7		d. 10	
b. 8		e. 11	
c. 9		f. 12	

<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
b. The grant program regulations.  
c. This award notice including terms and conditions, if any, noted below under REMARKS.  
d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Merlin Williams**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 00
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZRCP	b. 000821DD14	c. DD	d. \$116,954.00	e. 75-16-0958
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/06/2016
GRANT NO. 2 NUR3DD000821-06-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

2 NUR3DD000821-06-00

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1. Terms and Conditions DD821
2. Technical Review DD821

Funding Opportunity Announcement (FOA) Number: DD16-1604  
Award Number: 2NUR3DD000821-06  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DD16-1604, entitled Development, Maintenance and Enhancement of Early Hearing Detection and Intervention Information System (EHDI-IS) Surveillance Programs, and application dated April 25, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$150,000 is approved for the Year 01 budget period, which is July 1, 2016 through June 30, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Use of Unobligated Funds:** This NoA includes use of Year 04 unobligated funds from FOA DD11-1101 in the amount of \$33,046, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year 04 Federal Financial Report (FFR) for FOA DD11-1101 dated October 21, 2015. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A written response to the weaknesses must be submitted to the CDC Project Officer as noted in the Staff Contacts section of this NoA, no later than 45 days from the budget period start date. Failure to submit the required information by the due date, **August 15, 2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Cost sharing or matching alternative: Under this alternative, program income is used to finance some or

the entire non-Federal share of the project/program.

Note: The disposition of program income must have written prior approval from the GMO.

## **FUNDING RESTRICTIONS AND LIMITATIONS**

### **Indirect Costs:**

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional rate is approved at a rate of 12.7% of the base, which includes direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC

Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by September 30, 2017. Reporting timeframe is July 1, 2016 through June 30, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Audit Requirement:**

Domestic Organizations: An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under



\$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you

must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **GENERAL REQUIREMENTS**

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by February 28, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 2NUR3DD000821-06, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the

results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

### 3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)

Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: 000821DD14

Subaccount Title: **DD111101DEVEEHDIIIS14**

Awarded unobligated funds are also located in G Account:

Grant Document Number: UDD000821A

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management

controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is July 1, 2016 through June 30, 2017. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with



a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission

- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Deidra Green, Project Officer  
Centers for Disease Control  
NCBDDD  
Chamblee Building 101 Room 3112  
Atlanta, Georgia 30341-3717  
Telephone: 404-498-3034  
Fax: 770-488-0270  
Email: [DGGreen@cdc.gov](mailto:DGGreen@cdc.gov)

**STAFF CONTACTS:**

**Grants Management Specialist:** Daryl Barksdale  
Centers for Disease Control and Prevention  
The Office of the Chief Operating Officer  
2920 Brandywine Road Colgate MS E-09  
Atlanta, GA 30341  
**Email:** [xxj8@cdc.gov](mailto:xxj8@cdc.gov)      **Phone:** 770-488-1087

**Grants Management Officer:** Merlin Williams  
Centers for Disease Control and Prevention  
The Office of the Chief Operating Officer  
2920 Brandywine Road Colgate MS E-09  
Atlanta, GA 30341  
**Email:** [mqw6@cdc.gov](mailto:mqw6@cdc.gov)      **Phone:** 770-488-2851

## EHDI Technical Review Application Report

Applicant Name: Utah Department of Health (UDOH)

Grant Number: NUR3DD2016000011

Action Required: Respond to recommendations made, Revise Budget Narrative

Principal Investigator/Project Director: Stephanie Browning

Business Official: Shari A. Watkins

Date of Review: 5/25/2016

Reviewer: Quynh Do

### Summary of Strengths and Weaknesses

#### Summary of Strengths and Weaknesses

Objective/Criteria: **Applicant clearly describes the methods to be used to maintain the EHDI-IS in order to ensure accurate tracking and surveillance of unduplicated individual identifiable data**

**Status** Met

**Comments** Provide examples of existing MOUs (2 specified in progress report) and how data is shared.

Objective/Criteria: **The plan describes an effective process to identify, match, and collect standardized data that is unduplicated and individually identifiable for every occurrent birth through the three components of the EHDI process in a timely manner**

**Status** Met

Objective/Criteria: **Applicant describes processes to analyze data collected and dissemination of key information**

**Status** Met

Objective/Criteria: **Applicant describes process to disseminate evaluation findings with key stakeholders, and action steps**

**Status** Met

Objective/Criteria: **Applicant lists objectives that are specific, measurable, attainable, realistic, and time phased (SMART)**

**Status** Met

Objective/Criteria: **Adequate staffing has been assigned to each activity within the work plan**

**Status** Met

Objective/Criteria: **Measures of success are relevant and can be used to gauge recipients' success in reaching objectives**

**Status** Met

Objective/Criteria: **1.1**

Objective/Criteria: <b>1.2</b>	<b>Strength</b>	Utilizes findings that will improve the system
	<b>Strength</b>	Strengthens data collection and sharing (identify, match, unduplication, individually identifiable)
	<b>Weakness</b>	Methods to be used are not clearly described
	<b>Comments</b>	How are the MOUs established and data shared?
Objective/Criteria: <b>2.1</b>	<b>Strength</b>	Supports overall objective
Objective/Criteria: <b>2.2</b>	<b>Strength</b>	Strengthens data collection and sharing (identify, match, unduplication, individually identifiable)
Objective/Criteria: <b>3.1</b>	<b>Strength</b>	Supports overall objective
Objective/Criteria: <b>3.2</b>	<b>Strength</b>	Utilizes findings that will improve the system
Objective/Criteria: <b>3.3</b>	<b>Strength</b>	Increases collaboration and outreach to stakeholders and other partners
Objective/Criteria: <b>4.1</b>	<b>Strength</b>	Strengthens evaluation plan
Objective/Criteria: <b>4.2</b>	<b>Strength</b>	Strengthens data collection and sharing (identify, match, unduplication, individually identifiable)
Objective/Criteria: <b>5.1</b>	<b>Strength</b>	Strengthens data collection and sharing (identify, match, unduplication, individually identifiable)
Objective/Criteria: <b>6.1</b>	<b>Strength</b>	Measures of success are relevant and can be used to gauge recipients' success in reaching objectives

**Data Summary**

Objective/Criteria: <b>Performance Metrics for all 3 components of EHDl</b>	<b>Status</b>	Met
Objective/Criteria: <b>Methods of data collection for screening, diagnostic, and early intervention data</b>	<b>Status</b>	Met
Objective/Criteria: <b>Explanation and plan of action to address gaps and missing or unavailable data</b>		

**Status** Met

Objective/Criteria: **Explanation and plan of action for missing or unavailable data**

**Status** Met

### **Program Capacity**

Objective/Criteria: **Applicant describes the capacity and infrastructure of the program that would enable them to conduct the proposed activities**

**Status** Met

Objective/Criteria: **Proposed staffing plan sufficient to accomplish the program goals**

**Status** Met

Objective/Criteria: **Clearly defined staff roles and responsibilities**

**Status** Met

Objective/Criteria: **Key personnel has skills and experience to carry out the proposed activities and program analysis and evaluation**

**Status** Met

Objective/Criteria: **Sufficient dedicated staff time to carry out the proposed activities and program analysis and evaluation**

**Status** Met

### **Collaborative Efforts**

Objective/Criteria: **Description of methods for collaborating with multiple data sources such as birthing facilities, and current linkages with other state or territorial screening, tracking and surveillance programs**

**Status** Met

Objective/Criteria: **Methods of collaboration documented with written assurances**

**Status** Met

Objective/Criteria: **Documentation from relevant future partners related to tracking and surveillance efforts, such as letters of support, memoranda of understanding (MOU) or memoranda of agreement (MOA) that are recently dated (within last 12 months)**

**Status** Not Met

**Recommendation** Provide current (within the last 12 months) letters of support, MOU, MOA

**Comments** MOU from other bordering states

Objective/Criteria: **Documentation describes a specific role and a specific, verifiable commitment form the partner**

**Status** Met

Objective/Criteria: **Description of plans to work collaboratively with others on effective mechanisms for obtaining screening, evaluation, and early intervention data?**

**Status** Met

Objective/Criteria: **Roles of partners clearly contribute to elements of the work plan and they can be measured or demonstrated as evidence of success**  
Status Met

**Background**

Objective/Criteria: **Detailed description of current EHDI-IS**  
Status Met

Objective/Criteria: **Supporting documentation that clearly establishes program needs based on the current EHDI-IS**  
Status Met

Objective/Criteria: **Documentation of the components of the state/territory EHDI program (including descriptions of state legislation (if any), data systems, reporting protocols, etc.) and what changes and/or enhancements are needed**  
Status Met

Objective/Criteria: **Adequate description of the current program gaps and needs**  
Status Met

Objective/Criteria: **Calendar year 2014 baseline data for each stage of screening, diagnosis, and intervention, listed and brief but detailed explanation in the narrative for any performance metrics that are unavailable**  
Status Met  
Comments As noted in narrative, please make changes to hearing disposition (page 2 of EHDI Performance Metrics) so numbers match.

1. DATE ISSUED MM/DD/YYYY 08/11/2016  
 2. CFDA NO. 93.136  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU17CE002622-03-00  
 Formerly 5U17CE002622-02  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/01/2014 Through 08/31/2019

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/01/2016 Through 08/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 SEC 301,317,&391A 42USC241,247B&280B-B3

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah Violent Death Reporting System

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142106  
 Salt Lake City, UT 84114-2106

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Tricia Keller  
 PO BOX 142106  
 SALT LAKE CITY, UT 84114-2106  
 Phone: 801-588-6865

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari Watkins

10b. FEDERAL PROJECT OFFICER  
 Rebecca Wilson  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 770-488-1241

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	101,988.00
b. Fringe Benefits .....	71,869.00
c. Total Personnel Costs .....	173,857.00
d. Equipment .....	0.00
e. Supplies .....	693.00
f. Travel .....	6,023.00
g. Construction .....	0.00
h. Other .....	18,887.00
i. Contractual .....	0.00
j. TOTAL DIRECT COSTS →	199,460.00
k. INDIRECT COSTS	22,080.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>221,540.00</b>
m. Federal Share	221,540.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	221,540.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>221,540.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>639,540.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4		d. 7	
b. 5		e. 8	
c. 6		f. 9	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>e</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Brownie Anderson-Rana, Grants Management Officer**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZSPT	b. 002622CE14	c. 93.136	d. CE	e. \$221,540.00	f. 75-16-0952
22. a.	b.	c.	d.	e.	f.
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/11/2016
GRANT NO. 5 NU17CE002622-03-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>



# AWARD ATTACHMENTS

Utah Department of Health

5 NU17CE002622-03-00

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1. NCC T&C with technical review

Funding Opportunity Announcement (FOA) Number: CE14-1402  
Award Number: 5 U17 CE002622-03  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards  
Grant Recipient: Utah Department of Health

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CDC-RFA-CE14-1402, entitled Collecting Violent Death Information Using the National Violent Death Reporting System (NVDRS), and application dated April 11, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$221,540 is approved for the Year 2016 budget period, which is September 1, 2016 through August 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Budget Revision Requirement:** By October 3, 2016 the grantee must submit a revised budget with a narrative justification and work plan to reflect the approved award total. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

### FUNDING RESTRICTIONS AND LIMITATIONS

#### Indirect Costs:

1. Indirect costs are approved based on the Indirect Cost Rate Agreement dated 8/12/2015, which

calculates indirect costs as follows, a provisional is approved at a rate of 12.7% of the base, which includes, (1) direct salaries and wages including all fringe benefits; (2) total direct costs excluding capital expenditures (buildings, individual items of equipment, alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The effective dates of this indirect cost rate are from 7/1/2016 to 6/30/2017.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2016. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by November 30, 2017. Reporting timeframe is September 1, 2016 through August 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, May 3, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:**

Domestic Organizations: An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported

by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrc.gov](http://www.fsrc.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):

- Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
  - Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
  - Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
  - Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
    - Salary and bonus
    - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
    - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
    - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
    - Above-market earnings on deferred compensation which is not tax-qualified.
    - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at <http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html>. In addition, costs must be proposed in accordance with grantee approved policies and a determination of

reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by May 3, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 5 U17 CE002622-03, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant



regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes

provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

### 3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: 002622CE14  
Subaccount Title: CE141402COLLENVDRS14

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is 09/01/2014 through 08/31/2019. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## **CDC ROLES AND RESPONSIBILITIES**

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

### **GMO Contact:**

Brownie Anderson-Rana  
Grants Management Officer  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
[BAAndersonRana@cdc.gov](mailto:BAAndersonRana@cdc.gov) | Office: 770-488-2771, Cell: 470-233-1858

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

### **GMS Contact:**

Mr. Corey D. Taylor  
Grants Management Specialist

Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
2960 Brandywine Road, MS: E-01  
Atlanta, Georgia 30341  
WVE3@cdc.gov : 770-488-2730 (Office), 404-471-8482 (Right-Fax)

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Veronnica King, Project Officer  
Centers for Disease Control  
National Center For Injury Prevention And Control (NCICP)  
4770 Buford Highway  
MS-F63  
Telephone: 770-488-1812  
Fax: 404-248-2221  
Email:ftm3@cdc.gov

Rebecca Wilson, Project Officer  
Centers for Disease Control  
National Center For Injury Prevention And Control (NCICP)  
4770 Buford Highway  
MS-F63  
Telephone: 770-488-1241  
Fax: 404-248-2221  
Email: ysp2@cdc.gov

**National Center for Injury Prevention and Control  
Division of Violence Prevention/Surveillance Branch  
Technical Review**

Awardee's Name: Utah Department of Health

Grantee #: U17CE002622-03

Budget Year: 09/01/2016 - 08/31/2017

Title: **Collecting Violent Death Information Using the National Violent Death Reporting System (NVDRS)**

Requested Amount: \$209,000

Recommended Award Amount: \$209,000

Actual Unobligated Funds: \$0

Estimated Unobligated Funds: \$0

**1. Response to Technical Review (check one):**

The awardee must submit a response to the weakness(es) and recommendations identified in the technical review within 30 days from receipt date of the notice of award. **(Note: The awardee's response should be reflective only of the weaknesses identified, therefore, resubmission of the entire application is not required.)**

No response to Technical Review is required.

**2. Budget and Work-plan (check one):**

Revised Budget and Work-plan are needed due to a reduction in proposed budget, which affects the proposed activities/work-plan. **(Attach budget mark-up and justification to be used by GMS to request revised budget and work-plan.)**

Revised budget and work-plan are required due to – (provide reason(s)):  
\_\_\_\_\_

Revised budget and work-plan are **NOT** required.

**3. Performance (check one):**

The project officer certifies performance is satisfactory to date and continued funding is recommended.

The project officer certifies performance is not fully satisfactory to date and weaknesses and recommendations should be addressed, continued funding should be restricted until attached recommendations are met.

The project officer has determined performance to date has been less than satisfactory and continued funding is denied. The project officer's determination is based on below factual data as published in the announcement.

Project Officer's Name: Veronnica King

Project Officer's Signature (mandatory): *Veronnica King*

Date: 04/26/2016



## **A. Progress report:**

### **Summary of Major Strengths:**

The Utah Department of Health (UDOH) Violence and Injury Prevention Program (VIPP) is a well-established program with a history of timely and accurate collection of injury surveillance data including violent death data. The Utah Violent Death Reporting System (UTVDRS), housed within UDOH, continues to collect high-quality, comprehensive data. The program's partner engagement and relationship building work is tightly interwoven with data collection and dissemination, creating clear value of the program to stakeholders. The program maintains a comprehensive work plan and rigorous evaluation process.

### **Partners Engagement and Relationship Building**

- Staff worked with the Office of Vital Records to create new import files for death certificate (DC) data and a process is in place to import these files monthly. This has significantly decreased the lag time between the date of death and case initiation.
- An Epidemic Intelligence Service (EIS) Officer visited Utah to conduct an evaluation of UTVDRS. The EIS Officer conducted key informant interviews with key stakeholders and UTVDRS staff. In the fall of 2015, UTVDRS staff presented these evaluation results to the Technical Advisory Committee (TAC) and discussed opportunities to increase data quality and timeliness.
- The program recruited additional TAC members and reached out to previous contacts/partners to ensure inclusion of the best personnel from each agency represented.
- UTVDRS staff gave overview presentations at the monthly Sheriff's Association Meeting and annual Chiefs of Police Association Conference.
- In November 2015, UTVDRS held a celebration of the 10 Year anniversary of the program/TAC meeting. At this meeting, they invited members to celebrate successes, presented data trends to show impact and importance of work, and shared ideas for how to better serve their partners in providing data. Based on feedback from the meeting, the TAC will transition from a data collection to data utilization focus.
- The program partnered with Davis Behavioral Health in Utah to conduct a suicide fatality review of nine suicide cases that had interfaced with behavioral health before they occurred, resulting in sharing prevention recommendations with this partner. They are in the planning stages to expand this review to county-level and statewide.
- Partnered with Suicide Prevention Coalition to enhance the utilization of UTVDRS data to inform prevention efforts. Data have been used to inform fact sheets that are regularly updated and distributed to partners, State legislative reports and a State suicide prevention plan.

### **Data Collection**

- As of March, 2015, there are a total of 843 NVDRS cases abstracted for the 2014 data year.
- Staff have abstracted a total of 353 police reports (41.9%) and are working to obtain and abstract the remaining reports by the year end closeout.
- 100% of available 2015 and 2016 DCs have been electronically imported.
- UTVDRS maintains a tracking sheet with personal identifiers (secured location; limited personnel access) to facilitate data linkage across data sources. They have also developed

an import program that allows their case tracking system to interface with the NVDRS Web System import, resulting in more efficient case identification and abstraction.

- The program maintains an annual evaluation process and quarterly quality assurance check to continue to improve data quality and timeliness.
- Since 2014, UTVDRS reduced the number of months to case initiation by more than 50%.
- UTVDRS is transitioning their law enforcement data collection to a more digital and paper-less process--saving time, space and resources.
- UTVDRS staff will re-abstract a sample of 2014 and 2015 violent deaths that consist of 5% of each manner of death and compare coding for accuracy and consistency. Staff anticipate being able to share and discuss quality assurance feedback with abstractors by closeout to improve 2015 abstractions.

### **Data Dissemination**

- Nine publications from the past year have used UTVDRS data.
- Staff developed an online query system for UTVDRS data through the Information Based Incident System for Public Health (IBIS-PH) platform. Plans are in place to expand this query module, including a secure portal for law enforcement officers and the ability to query cases of drug overdose and domestic violence-related homicides and suicides.
- Eleven partners from the past year have used UTVDRS data.
- UTVDRS staff plan to publish and disseminate a UTVDRS Homicide report containing findings about homicides that occurred 2005-2014.

### **Summary of Major Weaknesses:**

Because of updates passed during the 2014 Utah Legislative Session to the Utah Medical Examiner Act, starting in January 2015 all motor vehicle fatality cases are required to be reviewed by the Medical Examiner (ME). Due to this large influx of cases, continuing increase of drug overdose deaths and increasing suicide rates, the ME's Office has become overwhelmed and is seriously understaffed. As a result, there has been a significant backlog of cases, which has inadvertently restricted UTVDRS ability to access reports and delayed the compilation of reports by the data provider, resulting in case reporting delays.

### **Other Relevant Comments:**

When working off-site (i.e., at other agencies), internet speed continues to be an issue with regard to accessing the web-based data entry system. As a result, the M E office moved their receivers to provide better connectivity. Additional "last resort" solutions (e.g., writing narratives offline and later cutting and pasting into the system) have been identified. UTVDRS requests CDCs support with resolving internet issues or have some sort of method to make sure all the needed variables from offsite are captured.

UTVDRS requests CDC's support with helping to develop a system to be able to share data for out-of-state deaths.

UTVDRS actively participates in all state calls with CDC, the optional NVDRS coding workgroup calls (which they attend every month), and has been invited to contribute two presentations to the upcoming NVDRS Reverse Site Visit.

## **B. New Budget Period Proposal Objectives:**

### **Summary of the Project:**

The overarching goal for the project is to continue participation in the statewide Utah Violent Death Reporting System (UTVDRS) which provides timely, high quality violent death surveillance data from multiple agencies. Data from Medical Examiner records, death certificates, police reports, Supplementary Homicide Reports, and crime laboratory reports have been linked and used to monitor the incidence of violent deaths in Utah. The collection and linking of uniform, state-based mortality information, consistent with the National Violent Death Reporting System (NVDRS) program standards, will continue to assist practitioners, researchers, and policy makers in understanding the factors associated with violent deaths in Utah. In addition, this data will be instrumental in planning, implementing, and evaluating prevention and policy programs aimed at reducing violent deaths in Utah.

**Summary of Major Strengths:**

The Utah Department of Health (UDOH) Violence and Injury Prevention Program (VIPP) is a well-established program with a history of timely and accurate collection of injury surveillance data including violent death data. The Utah Violent Death Reporting System (UTVDRS) continues to collect high-quality, comprehensive data. The proposed work plan and rigorous evaluation process will continue to strengthen the program and support collection and dissemination of high-quality, comprehensive and timely data. UTVDRS plans to continue to enhance the use and dissemination of UTVDRS data through innovative partnership engagement and collaboration activities.

**Summary of Major Weaknesses: None Noted**

**Recommendations: None Noted**

**Other Relevant Comments:**

Continue to communicate with your CDC Project Officer about any updates, issues or concerns with offsite work and/or potential reporting delays due to Office of Medical Examiner backlogs.

1. DATE ISSUED MM/DD/YYYY 07/05/2016  
 2. CFDA NO. 93.136  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 SEC 301,317,&391A 42USC241,247B&280B-B3

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU17CE002733-02-00  
 Formerly 1U17CE002733-01

5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/01/2015 Through 08/31/2019

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/01/2016 Through 08/31/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH PRESCRIPTION DRUG OVERDOSE, ABUSE AND MISUSE PREVENTION PROGRAM

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. TRISHA A KELLER595633  
 P.O. BOX 144002  
 UTAH DEPT OF HEALTH/FISCAL OPS.  
 SALT LAKE CITY, UT 84114  
 Phone: 801-538-6865

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Jamie E Mells  
 4770 Buford Hwy  
 DARPI  
 Atlanta, GA 30341  
 Phone: 770-488-7388

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)		12. AWARD COMPUTATION	
I Financial Assistance from the Federal Awarding Agency Only		a. Amount of Federal Financial Assistance (from item 11m) 940,000.00	
II Total project costs including grant funds and all other financial participation <input checked="" type="checkbox"/>		b. Less Unobligated Balance From Prior Budget Periods 0.00	
a. Salaries and Wages .....	211,799.00	c. Less Cumulative Prior Award(s) This Budget Period 0.00	
b. Fringe Benefits .....	118,766.00	d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 940,000.00	
c. Total Personnel Costs .....	330,565.00	13. Total Federal Funds Awarded to Date for Project Period 1,880,000.00	
d. Equipment .....	0.00	14. RECOMMENDED FUTURE SUPPORT	
e. Supplies .....	971.00	(Subject to the availability of funds and satisfactory progress of the project):	
f. Travel .....	7,308.00	YEAR	TOTAL DIRECT COSTS
g. Construction .....	0.00	a. 3	d. 6
h. Other .....	11,630.00	b. 4	e. 7
i. Contractual .....	547,544.00	c. 5	f. 8
j. TOTAL DIRECT COSTS →	898,018.00	15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:	
k. INDIRECT COSTS	41,982.00	a. DEDUCTION	
l. TOTAL APPROVED BUDGET	940,000.00	b. ADDITIONAL COSTS	
m. Federal Share	940,000.00	c. MATCHING	
n. Non-Federal Share	0.00	d. OTHER RESEARCH (Add / Deduct Option)	
		e. OTHER (See REMARKS)	
		16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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	
		b. The grant program regulations.	
		c. This award notice including terms and conditions, if any, noted below under REMARKS.	
		d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.	
		In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.	

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Barbara (Rene) Benyard

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939039R	b. 002733CE15	c. CE	d. \$940,000.00	e. 75-16-0952
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/05/2016
GRANT NO. 5 NU17CE002733-02-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU17CE002733-02-00

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1. UT Terms and Conditions

Funding Opportunity Announcement (FOA) Number: CE15-1501  
Award Number: 5 U17 CE 002733- 02  
Award Type: Cooperative Agreement

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CE15-1501, entitled Prescription Drug Overdose Prevention for States, and application dated **May 2, 2016**, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NOA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NOA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$940,000 is approved for the Year 02 budget period, which is September 1, 2016 through August 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Budget Revision Requirement:** By October 3, 2016 the grantee must submit a revised budget with a due date.

**Travel Conditional Approval:** Your Supply costs to support the Prescription Overdose Prevention for States Program, in the amount of **\$7,308** is pending the below item. Your submission is requested within 30 days of this award. **The required travel item is position(s) of staff traveling.**

Note: Dollars requested in the Travel category should be for recipient staff travel only. Travel for consultants should be shown in the Consultant category. Travel for other participants (e.g., advisory committees, review panel, etc.) should be itemized as specified below and placed on the Other category.

**Contractual Conditional Approval:** Your contractual request to support the Prescription Drug Overdose Prevention for States Program, in the amount of **\$516,347** is pending written submission of the element listed below. Your submission is requested within 30 days of this award. The required contractual element is:

1. Itemized Budget and Justification (travel, per diem—list by category)

**Required for UDOH Office of Health Care and Statistics (Expenses) and Prescription Drug Community Prevention Grants and Rapid Response Project Budget.**

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

## FUNDING RESTRICTIONS AND LIMITATIONS

**Funding Opportunity Announcement (FOA) Restrictions:** Program funds cannot be used for purchasing naloxone, implementing or expanding drug “take back” programs, or directly funding or expanding substance abuse treatment programs. Such activities are outside of the scope of this FOA.

Restrictions that must be considered while planning the programs and writing the budget are:

- Awardees may not use funds for research.
- Awardees may not use funds for clinical care.
- Awardees may use funds only for reasonable narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the program purposes, including personnel, travel, supplies, and services.
- Generally, awardees may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs is not allowed.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for: publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.

See [http:// www.cdc.gov /grants /additional requirements /index.htm](http://www.cdc.gov/grants/additional_requirements/index.htm) for detailed guidance on this prohibition and [http://www.cdc.gov/ grants /documents/Anti- Lobbying \\_Restrictions\\_ for\\_CDC\\_ Grantees\\_July \\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70 % of the base, which includes, direct salaries and wages including all fringe benefits. Total direct costs excluding capital expenditures (buildings, individual items of equipment, alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may



be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2015 funds will expire September 30, 2016. All FY 2015 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2020. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by November 30, 2017. Reporting timeframe is September 1, 2016 through August 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, May 1, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

**Domestic Organization:** An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [OGS.Audit.Resolution@cdc.gov](mailto:OGS.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Sub recipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the sub recipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the sub recipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether sub recipient audits necessitate adjustment of the grantee's own accounting records. If a sub recipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of sub recipient activities. The grantee shall require each sub recipient to permit the independent auditor access to the sub recipient's records and financial statements. The grantee must include this requirement in all sub recipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act,

- as defined at 2 CFR Part 170.320 (and sub-awards); and
- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and

services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.

- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NOA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by May 1, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget

- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 5 U17 CE002733-02, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by

using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following

website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled “Pilot Program for Enhancement of Contractor Employee Whistleblower Protections,” of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “sub grant,” or “sub grantee”):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.



(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

#### PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: 002733CE15  
Subaccount Title: CE151501PERDRGOVDS15

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is 09/01/2016 through 08/31/2019. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NOA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

#### **Staff Contact**

Darryl Mitchell, Grants Management Specialist  
Centers for Disease Control  
Office of Grant Services  
Office of the Director, Environmental, Occupational Health, and  
Injury Prevention Branch (OSDB)  
2920 Brandywine Road, Mail Stop E01  
Atlanta, GA 30341-4146  
Telephone: 770-488-2747  
Fax: 770-488-2640  
Email: [dvm1@cdc.gov](mailto:dvm1@cdc.gov)

Barbara Rene' Benyard, Grants Management Officer  
Centers for Disease Control  
Office of Grant Services

Office of the Director, Environmental, Occupational Health, and  
Injury Prevention Branch (OSDB)  
2920 Brandywine Road, Mail Stop E01  
Atlanta, GA 30341-4146  
Telephone: 770-488-2757  
Fax: 770-488-2640  
Email: [bnb8@cdc.gov](mailto:bnb8@cdc.gov)

1. DATE ISSUED MM/DD/YYYY 07/25/2016  
 2. CFDA NO. 93.283  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU500E000085-02-00  
 Formerly 1U500E000085-01  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 09/01/2015 Through 08/31/2019

7. BUDGET PERIOD MM/DD/YYYY  
 From 09/01/2016 Through 08/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 42 USC 241 31 USC 6305 42 CFR 52

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH: NATIONAL SYNDROMIC SURVEILLANCE PROGRAM

9a. GRANTEE NAME AND ADDRESS  
 UTAH STATE DEPARTMENT OF HEALTH  
 288 N 1460 W  
 UTAH DEPARTMENT OF HEALTH  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. MELISSA DIMOND  
 288 N 1460 W  
 PO BOX 144003  
 UTAH DEPT OF HEALTH  
 SALT LAKE CITY, UT 84114-4003

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari Watkins622626  
 288 N 1460 W  
 Utah Department of Health  
 Salt Lake City, UT 84116-3231  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Philip Baptiste  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 404498-6808

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	51,693.00
b. Fringe Benefits .....	28,431.00
c. Total Personnel Costs .....	80,124.00
d. Equipment .....	0.00
e. Supplies .....	1,120.00
f. Travel .....	9,405.00
g. Construction .....	0.00
h. Other .....	3,510.00
i. Contractual .....	124,020.00
j. TOTAL DIRECT COSTS →	218,179.00
k. INDIRECT COSTS	10,176.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>228,355.00</b>
m. Federal Share	228,355.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	228,355.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>228,355.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>456,710.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 3		d. 6	
b. 4		e. 7	
c. 5		f. 8	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Tiffany Mannings**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 5-9391463	b. 0000850E15	c. 93.283	d. OE	e. \$0.00	f. 75-15-0956
22. a. 6-93904SH	b. 0000850E15	c. 93.283	d. OE	e. \$228,355.00	f. 75-16-0956
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/25/2016
GRANT NO. 5 NU500E000085-02-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

UTAH STATE DEPARTMENT OF HEALTH

5 NU50OE000085-02-00

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1. TERMS AND CONDITIONS
2. TECHNICAL REVIEW



Funding Opportunity Announcement (FOA) Number: OE 15-1502

Award Number: 5U50OE000085-02

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number OE15-1502, entitled The National Syndromic Surveillance Program: Enhancing Syndromic Surveillance Capacity and Practice, and application dated April 4, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$228,355.00 is approved for the Year 2 budget period, which is September 1, 2016 through August 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

### FUNDING RESTRICTIONS AND LIMITATIONS

#### Indirect Costs:

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015 which calculates indirect costs as follows: A Provisional is approved at a rate of 12.70% of the base which includes salary and fringe benefits. The effective dates of this indirect cost rate are from 07/01/2016 through 06/30/2018.

#### Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working

under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 16 funds will expire September 30, 2016. All FY 16 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by November 30, 2017. Reporting timeframe is September 1, 2016 through August 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, April 30, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

### Audit Requirement

Domestic Organizations (*including US-based organizations implementing projects with foreign components*): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System  
Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit  
Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Sub-recipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the

sub-recipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the sub-recipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether sub-recipient audits necessitate adjustment of the grantee's own accounting records. If a sub-recipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee shall require each sub-recipient to permit the independent auditor access to the sub-recipient's records and financial statements. The grantee must include this requirement in all sub-recipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at

<http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided

through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.

- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by April 30, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope

- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 5U50OE000085-02, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.



### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “subgrant,” or “subgrantee”):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

- (1) DoD, NASA, and the Coast Guard; or
- (2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-
  - (i) Relates to an activity of an element of the intelligence community; or
  - (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **000085OE15**  
Subaccount Title: **OE151502NATSURVPRG15**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

#### **CDC ROLES AND RESPONSIBILITIES**

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**GMS Contact:**

Lisa DeBouse, GMS  
Centers for Disease Control and Prevention  
2920 Brandywine Rd, M.S. E-01  
Atlanta, GA 30341  
Telephone: 770-488-3198  
E-Mail: wzn5@cdc.gov

**Programmatic Contact:**

Philip Baptiste, Project Officer  
Centers for Disease Control  
CSELS  
1600 Clifton Road, NE, Mailstop E-97  
Atlanta, GA 30333  
Telephone: 404-498-6808  
Email: pmb2@cdc.gov



## Technical Reviewer Evaluation Report

Funding Opportunity Number: CDC-RFA-OE15-1502

**The National Syndromic Surveillance Program: Enhancing Syndromic  
Surveillance Capacity and Practice  
Annual Progress Report 9/1/2015 – 2/29/2016**

Grantee/Organization: Utah Department of Health

Grant Number: U50 OE000085

Name of Person Compiling this Review: Philip M. J. Baptiste, III

CIO/Phone/Email Address: CSELS / (404) 498-6808 / pmb2@cdc.gov

### Progress Report

Does the grantee's progress report document satisfactory progress to-date in all activities funded in the prior year? Does the report adequately document specific progress toward the stated performance or outcome measures from the prior year's approved application?

Yes  No

Comments, Strengths, Weaknesses (to support the answer above): The grantee documented their satisfactory progress to date in all activities for reporting period 9/1/2015 – 2/29/2016. Specific descriptions of their progress are noted on pages 8-10 of their project narrative.

### New Budget Period Proposal

Are there any critical weaknesses in the proposal that must be addressed with the grantee BEFORE the renewal award is issued?

Yes  No

Does the grantee provide a detailed, clear, and time-phased operational plan for continued performance of activities for which funding is requested?

Yes  No

Does the grantee include clear performance or outcome measures for recipient activities that will be useful in evaluating programmatic progress during the new budget period?

Yes  No



Comments, Strengths, Weaknesses (to support the answers above): No critical weaknesses were found in the grantees proposal that would need to be addressed prior to the renewal of their award. A detailed and clear work plan as well as a description of new budget period proposed activities is provided in Section II New Budget period Proposed Strategies and Activities, pages 2-16. The grantee also provides two activities tables: 1) a project plan and goals for recruiting hospital emergency departments, and 2) project tasks and timeline with estimated duration, execution and completion dates.

**Budget:**

Does the applicant's budget provide a detailed line-item justification for proposed activities?

**X Yes**      \_\_\_ No

Technical Reviewer's Name (Please Print or type) **Philip M. J. Baptiste, III**

Technical Reviewer's Signature \_\_\_\_\_ Date \_\_\_\_\_

1. DATE ISSUED MM/DD/YYYY | 2. CFDA NO. | 3. ASSISTANCE TYPE  
 06/23/2016 | 93.074 | Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. | 5. ACTION TYPE  
 5 NU90TP000555-05-00 | Non-Competing  
 Formerly 5U90TP000555-04 | Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 07/01/2012 | Through 06/30/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 07/01/2016 | Through 06/30/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 SEC391(A)317(K)OPHS42U.S.C.SEC241A 247B

8. TITLE OF PROJECT (OR PROGRAM)  
 TP12-1201 HPP AND PHEP COOPERATIVE AGREEMENTS

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Mr. PAUL PATRICK  
 3760 S. HIGHLAND DRIVE  
 UTAH DEPARTMENT OF HEALTH  
 SALT LAKE CITY, UT 84106  
 Phone: (801) 273-6604

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Mr. David T Rykken MPH  
 200 C Street SW  
 ASPR HPP  
 Washington, DC 20024  
 Phone: 202-245-0723

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	1,332,112.00
b. Fringe Benefits .....	652,197.00
c. Total Personnel Costs .....	1,984,309.00
d. Equipment .....	2,200.00
e. Supplies .....	112,753.00
f. Travel .....	68,028.00
g. Construction .....	0.00
h. Other .....	305,353.00
i. Contractual .....	5,839,619.00
j. TOTAL DIRECT COSTS →	8,312,262.00
k. INDIRECT COSTS	252,006.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>8,564,268.00</b>
m. Federal Share	8,564,268.00
n. Non-Federal Share	894,438.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	8,564,268.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>8,564,268.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>46,938,202.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 6		d. 9	
b. 7		e. 10	
c. 8		f. 11	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION	<b>C</b>
b. ADDITIONAL COSTS	
c. MATCHING	
d. OTHER RESEARCH (Add / Deduct Option)	
e. OTHER (See REMARKS)	

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Shicann Phillips**

17. OBJ CLASS	41.51	18a. VENDOR CODE	1876000545C1	18b. EIN	876000545	19. DUNS	959347972	20. CONG. DIST.	02
FY-ACCOUNT NO.		DOCUMENT NO.		ADMINISTRATIVE CODE		AMT ACTION FIN ASST		APPROPRIATION	
21. a.	6-921027R	b.	000555TP16	c.	TP	d.	\$269,759.00	e.	75-16-0956
22. a.	6-9213367	b.	000555TP16	c.	TP	d.	\$6,006,489.00	e.	75-16-0956
23. a.	6-939ZVNM	b.	000555TP16	c.	TP	d.	\$2,288,020.00	e.	75-16-0140

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 23	DATE ISSUED 06/23/2016
GRANT NO. 5 NU90TP000555-05-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$0.00	\$0.00



PAGE 3 of 23	DATE ISSUED 06/23/2016
GRANT NO. 5 NU90TP000555-05-00	

**AWARD CONDITIONS**

- AWARD CONDITIONS

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards.

**45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

<b>AWARD INFORMATION</b>
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The Public Health Preparedness Program cooperative agreements are authorized by section 319C-1, and the Hospital Preparedness Program cooperative agreements are authorized by section 319C-2 of the Public Health Service (PHS) Act as amended.

Although aligned under the dual agency established CFDA number 93.074 the two programs remain distinct and separate programs and are funded through two different appropriations.

Dual agency established CFDA number 93.074

All audits, etc. should list these two CFDA number: 93.074

93.889 – National Bioterrorism Hospital Preparedness Program

93.069 – Public Health Emergency Preparedness

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number TP12-1201, entitled **Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Cooperative Agreement**, and application dated April 5, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Available Funding:** This NoA provides funding in the amount of **\$8,564,268** in Financial Assistance (FA) for Year 05 budget period, which is July 1, 2016 through June 30, 2017.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

TYPE OF FUNDS	PHEP	HPP	TOTAL FUNDING
FY 2016 Appropriations	<b>6,276,248</b>	<b>\$2,288,020</b>	<b>\$8,564,268</b>

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**APPROVED FUNDING PHEP:** Funds in the amount of **\$6,276,248** is approved for the Year 05 budget period which is July 1, 2016 through June 30, 2017 for the following program components:

Base **\$6,006,489** Cities Readiness Initiative (CRI) **\$269,759**.

(1): Cities Readiness Initiative (CRI): This award includes **\$269,759**. to support Medical Countermeasure Dispensing and the Medical Material Management and Distribution (MCMDD) capabilities. These funds are provided for medical countermeasure distribution and dispensing (MCMDD) for all-hazards events, which includes the ability of jurisdictions to develop capabilities for U.S. cities to respond to a large-scale biologic attack, with anthrax as the primary threat consideration. For State awardees, 75% of their allocated CRI funds must be provided to CRI jurisdictions in support of all- hazards MCMDD planning and preparedness. CRI jurisdictions are defined to include independent planning jurisdictions (as defined by the state and locality) that include those counties and municipalities within the defined metropolitan statistical area (MSA) or the New England County Metropolitan Areas (NECMAs).

**APPROVED FUNDING HPP:** Funds in the amount of **\$2,288,020** is approved for the Year 05 budget period which is July 1, 2016 through June 30, 2017 for the following program components

**Award Funding:. Not funded by the Prevention and Public Health Fund**

**EXPANDED AUTHORITY:** In accordance with 45 CFR Part 75.308 (d), the grantee is given expanded authority to carryover unobligated balances to the successive budget period without receiving prior approval from the Office of Grants Services. The following restrictions apply with this authority:

- The expanded authority can only be used to carryover unobligated balances from one budget period to the next successive budget period. Any unobligated funds not expended in the successive budget period must be de-obligated and returned to Treasury as required.
- No Cost Extensions will not be allowed
- The recipient must report the amount carried over on the Federal Financial Report for the period in which the funds remained unobligated.
- This authority does not diminish or relinquish CDC and ASPR administrative oversight of the HPP/PHEP program. The CDC and ASPR program offices will continue to provide oversight and guidance to the award recipients to ensure they are in compliance with statutes, regulations, and internal guidelines.
- The roles and responsibilities of the CDC and ASPR Program/Project Officers will remain the same as indicated in the Terms and Conditions of the Award.
- The roles and responsibilities of the CDC, Office of Grants Services, Grants Management Specialist, will remain the same as indicated in the Terms and Conditions of the Award.
- All other terms and conditions remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

Your organization is responsible for ensuring that all costs allocated and obligated are allowable, reasonable, and allocable and in line with the goals and objectives outlined in the base FOA TP12-1201 and approved work plans.

**NOTE:** All Budget Period 04 Unobligated funds must be expended by June 30, 2017 these funds are approved under Expanded Authority. Please be advised that grantee must exercise proper stewardship over Federal Funds by ensuring that all costs charged to their cooperative agreement are allowable,

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allocable, and reasonable.

**Direct Assistance (DA):** Not Applicable

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **August 1, 2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By **August 1, 2016** the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date. (If applicable)

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Cost sharing or matching alternative: Under this alternative, program income is used to finance some or the entire non-Federal share of the project/program.

The disposition of program income must have written prior approval from the GMO.

**FUNDING RESTRICTIONS AND LIMITATIONS**

**Funding Opportunity Announcement (FOA) Restrictions are as follows:**

Recipients cannot use funds for fund raising activities or lobbying.

Recipients cannot use funds for research.

Recipients cannot use funds for major construction or major renovations.

Recipients cannot use funds for clinical care.

Recipients cannot use funds to acquire real property such as land, land improvements, structures, and appurtenances thereto. In addition, activities under individual grants that constitute major renovation of real property or purchase of a trailer or modular unit that will be used as real property may be charged to HHS grants only with specific statutory authority and GMO approval.

Recipients cannot use funds for reimbursement of pre-award costs.

Recipients may supplement but not supplant existing state or federal funds for activities described in the budget.

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The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Payment or reimbursement of backfilling cost for staff, including healthcare personnel for exercises, is not allowed.

HPP awardees cannot use funds to support stand-alone, single-facility exercises.

PHEP awardees cannot use funds to purchase vehicles to be used as means of transportation for carrying people or goods, such as passenger cars or trucks and electrical or gas-driven motorized carts.

**Administrative Restriction(s):** PHEP Base Funds in the amount of \$43,654 are hereby restricted as follows:

(\$14,622 for various staff) (\$12,000.00 semi-trailer shelter equipment) (\$6,200 purchase new cell phones)

(\$500.00 for MRC Background check) (\$1,000.00 Other Honoraria for CSC) (\$500.00 SST Radio fee)

(\$837.00 new computer) (\$1,995 Software Updates and Assurance) (\$6,000 General Office Supplies)

Funds in the amount of \$4,244 PHEP other (Equipment: \$2,200.00 (2) new computers) (\$2,044.00 Uniform Replacement). Refer to the email dated May 15, 2016, which outlines the required information necessary to release the restriction. As a reminder restricted funds cannot be drawn down from the payment management system until your organization submits the necessary information, which must be submitted to your assigned GMS by August 1, 2016.

**Programmatic Restriction:** Refer to the attached Work Plan Conditions of Award (WCOA) and Budget Conditions of Award (BCOA) for more details of the disallowed costs.

**Indirect Costs:** Indirect Costs are approved based on the Indirect Cost Rate Agreement dated 08/12/2015, which calculates indirect cost as follows, a Provisional is approved at a rate of 12.70% of the BASE: Direct salaries and wages including all fringe benefits.

TYPE	Effective Date From	Effective Date To	Rate%	Locations Applicable To
Provisional	July 1, 2016	June 30, 2018	12.70%	All Programs except ED Restricted Programs

**MATCHING:** Matching Funds Requirement: The required level of non-federal participation for PHEP is **\$627,624** and HPP required match is **\$228,802**

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. When a grantee requests a to

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**your federal cash disbursements.**

*The match requirement does not apply to the political subdivisions of New York City, Los Angeles County, or Chicago. In line with 48 U.S.C. 1469a(d), any required matching (including in-kind contributions) of less than 200,000 is waived with respect to cooperative agreements to the governments of American Samoa, Guam, the Virgin Islands, Federated States of Micronesia, Republic of Marshall Islands or the Northern Mariana Islands (other than those consolidated under other provisions of 48 U.S.C 1469). For instance, if 10% (the match requirement) of the award is less than \$200,000, then the entire match requirement is waived. If 10% of the award is greater than 200,000, then the first 200,000 is waived, and the rest must be paid as match.*

**Matching Requirements for HPP** – 10% Federal Register Notice of May 16, 2008 (Vol. 73, No 96) requires cost sharing (non-federal share) of not less than 10% of federal funds awarded (\$1.00 for every \$10 of Federal Funds provided in the award). Match/cost sharing, the non-federal share can be provided directly by the state, in cash, or third party in-kind contributions. Match/cost sharing must be reported on the SF-425 (Federal Financial Report), if applicable.

**Matching Funds Requirement for PHEP** – 10%. Statutory formula for PHEP in Section 319C-1 of the Public Health Service (PHS) Act, as amended. For the year 05 budget period, matching funds are from non-Federal sources in an amount not less than 10% of such costs (\$1 for every \$10 of Federal funds provided in the award). Match can be provided directly by the state, in cash, or third party in-kind contributions. Match must be reported on the SF-425 (Federal Financial Report), if applicable.

**Maintenance of Effort (MOE)** - Requirement: MOE represents an applicant/grantee historical level of contributions related of Federal programmatic activities which have been made prior to the receipt of Federal Funds expenditures (money spent). MOE is used as an indicator of non-federal support for public health security before the infusion of Federal funds. These expenditures are calculated by the grantee without reference to any Federal funding that also may have contributed to such programmatic activities in the past. Awardees must stipulate the total dollar amount in their grant applications. Grantees must be able to account for MOE separately from accounting for Federal funds and separately from accounting for any matching funds requirement; this accounting is subject to ongoing monitoring, oversight, and audit. MOE may not include any Sub awardee matching funds requirements.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation,

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distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at [Grants Additional Requirements](#) and Anti Lobbying Restrictions for CDC Grantees at [Anti-Lobbying Restrictions for CDC Grantees July 2012](#)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by (HHS OPDIV) prior to the end of its term.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims

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Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2016. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2017. After this date, corrections or cash requests will not be permitted.

### REPORTING REQUIREMENTS

The FINAL and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your grants management specialist (GMS) no later than 90 days after the end of budget period. The FFR for this budget period is due by **September 30, 2017**. Reporting timeframe is **July 1, 2016 through June 30, 2017**. **The above requirement is to submit hardcopy FFR's via email using the link provided is only for the Grant Solutions GMM recipients.**

The FFR may be downloaded from the following website below and submitted to the GMS via email. [Grants Approved Forms](#)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the

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acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer of title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting [grants\\_hhs568](#). If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

**Audit Requirement:**

An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

[Electronic Submission](#)

AND

Procurement & Grants Office, Risk Management & Compliance Activity

Electronic Copy to: [OFR.Audit.Resolution@cdc.gov](mailto:OFR.Audit.Resolution@cdc.gov)

An organization that expends \$300,000 or more in a fiscal year on its Federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Electronic Copy to:

[OFR.Audit.Resolution@cdc.gov](mailto:OFR.Audit.Resolution@cdc.gov) (CDC Procurement & Grants Office, Risk Management & Compliance Activity)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies:

The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements.



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The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [fsrs.gov](http://fsrs.gov)

FFATA: [fsrs.gov](http://fsrs.gov).

Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [fsrs.gov](http://fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [fsrs.gov](http://fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and

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- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at [U.S. Securities and Exchange Commission](http://www.sec.gov) ).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at [U.S. Security and Exchange Commission total compensation filings Answers](http://www.sec.gov)).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part

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75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.

- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**GENERAL REQUIREMENTS**

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [HHS Policies and Guidance](#). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.  
<http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending?#>

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization or as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests by **March 2, 2017** or no later than 120 days prior to this budget period's end date. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget

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- Change in key personnel
- Conferences or meetings that were not specified in the approved budget
- **OVERTIME/COMPENSATORY TIME:** Must be submitted to your GMS prior to applying the proposed cost. Requests should clearly state the following:
  - Name of Staff

Percentage of effort on current award

Number of hours worked

What activities are being accomplished during overtime hours?

Templates for prior approval requests can be found at: [Prior Approval Requests](#)

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **NU90TP000555**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make

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the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-Made. CDC defines equipment as tangible non-expendable personal property (excluding exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security

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practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), **Title III of the E-Government Act of 2002, and PL 107-347.**

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website: [http://frwebgate.access.gpo.gov/cgi-in/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-in/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf) **Security Management Act (FISMA)**

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "sub grant," or "sub grantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with

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the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in

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section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

<b>PAYMENT INFORMATION</b>
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**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services

P.O. Box 6021

Rockville, MD 20852

Phone Number: (877) 614-5533

Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)

Website: [Department of Health and Human Services \(HHS\) Payment Management System \(PMS\).](#)

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

[University and Non-Profit Payment Branch:](#)

[Government and Tribal Payment Branch](#)

[Cross Service Payment Branch](#)

International Payment Branch:

Bhavin Patel (301) 492-4918

Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services

Division of Payment Management

7700 Wisconsin Avenue, Suite 920

Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative



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Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “P Account”. A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

This award contains funding from multiple components. The grant document number and a component’s applicable subaccount title (listed below) must be known in order to draw down funds from this P Account.

Grant Document Number:**000555TP16**

<u>Component:</u> PHEP
<u>Subaccount Title:</u> TP121201HPPHEPBASE16

<u>Component:</u> HPP
<u>Subaccount Title:</u> TP121201HPPHEPOTHR16

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable

HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

<b>CLOSEOUT REQUIREMENTS</b>
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Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting

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timeframe is 07/01/2012 through 06/30/2017. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

Statement of progress made toward the achievement of originally stated aims.

- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting [grants\\_hhs568](#). If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

<b>CDC ROLES AND RESPONSIBILITIES</b>
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**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program

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staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Ruth Smith, Project Officer

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Centers for Disease Control and Prevention  
Public Health Emergency Preparedness Program  
1600 Clifton Road, NE  
Atlanta, Georgia 30329  
Telephone: (404) 639-  
Email address: r@cdc.gov

**David Rykken**

ASPR  
Hospital Preparedness Program Headquarters  
Telephone 202-245-0723  
Email: david.rykken@hhs.gov

**Shicann Phillips**

Grant Management Officer  
Office of Grants Services  
Centers for Disease Control and Prevention  
2960 Brandywine Road MS E-01  
Atlanta GA 30341  
Email address: [lbq7@cdc.gov](mailto:lbq7@cdc.gov)  
Telephone: 770-488-2809

**Veronica Davis**

Grant Manager Specialist  
Office of Grants Services  
Centers for Disease Control and Prevention  
2960 Brandywine Road MS E-01

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Atlanta GA 30341

Email address: [vad4@cdc.gov](mailto:vad4@cdc.gov)

Telephone: 770-488-2743

# AWARD ATTACHMENTS

Utah Department of Health

5 NU90TP000555-05-00

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1. BP5 PHEP BCOA Utah
2. BP5 HPP BCOA and WCOA

**BP5 Budget Conditions of Award (BCOA) Report for Utah****Budget Period: 07/01/2016 to 06/30/2017****Date Application Submitted: 04/05/2016**

Privileged Communication

Grant Number: 000555

Program Announcement #: CDC-RFA-TP12-1201

**Budget Exception for PHEP-CRI Funding Source**

Type	Category	Description	Requested \$	Approved \$
Disapproved	Other	Placeholder for Adjustment	\$29,973	\$0
<b>Work Plan Association:</b> PHEP Capabilities Plan: Program Administration,				
<b>Exception Text:</b> Other: The disapproved dollar amount found on the Budget Conditions of Award (BCOA) represents the difference in the BP5 Budget PHEP Reduction. The following amounts are not to be awarded: \$350,142 dollars from Base-Other and \$29,973 dollars from CRI-Other.				

**Budget Conditions of Award (BCOA) Report for**

**Budget Period: to**

**Date Application Submitted:**

Privileged Communication

Grant Number:

Program Announcement #:





COOPERATIVE AGREEMENTS  
Department of Health and Human Services  
Centers for Disease Control and Prevention

Notice of Award

Issue Date: 05/17/2016



NATIONAL CENTER FOR ENVIRONMENTAL HEALTH

**Grant Number:** 5U59EH000489-08  
**FAIN:** U59EH000489

**Principal Investigator(s):**  
Rebecca T. Giles, MPH

**Project Title:** UTAH ASTHMA PROGRAM: COMPREHENSIVE ASTHMA CONTROL THROUGH EVIDENCE-BASED STRATEGIES AND PUBLIC HEALTH - HEALTH CARE COLLABORATION

Shari Watkins  
Director, Fiscal Operations  
Utah Department of Health  
288 North 1460 West  
P. O. Box 142106  
Salt Lake City, UT 84116

**Award e-mailed to:** [acristaudo@utah.gov](mailto:acristaudo@utah.gov)

**Budget Period:** 09/01/2016 – 08/31/2017  
**Project Period:** 09/01/2014 – 08/31/2019

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$550,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UTAH STATE DEPARTMENT OF HEALTH in support of the above referenced project. This award is pursuant to the authority of 301(A)311, 317(C)PHSACTi42USC241, 243, 247B 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.

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

Sincerely yours,

Ralph U Robinson  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

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**SECTION I – AWARD DATA – 5U59EH000489-08****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$165,616
Fringe Benefits	\$115,338
Personnel Costs (Subtotal)	\$280,954
Consultant Services	\$175
Travel Costs	\$4,461
Other Costs	\$15,705
Consortium/Contractual Cost	\$213,024

Federal Direct Costs	\$514,319
Federal F&A Costs	\$35,681
Approved Budget	\$550,000
Federal Share	\$550,000
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$550,000</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$550,000**

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

09 \$550,000  
10 \$550,000

**Fiscal Information:**

**CFDA Number:** 93.070  
**EIN:** 1876000545C1  
**Document Number:** 000489EH14

IC	CAN	2016	2017	2018
EH	939ZRHM	\$550,000	\$550,000	\$550,000

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
8	\$550,000	\$550,000
9	\$550,000	\$550,000
10	\$550,000	\$550,000

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

**CDC Administrative Data:**

**PCC:** N / **OC:** 4151 / **Processed:** ERAAPPS 05/17/2016

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5U59EH000489-08**

For payment information see Payment Information section in Additional Terms and Conditions.

**INSPECTOR GENERAL:** The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hstips@oig.hhs.gov](mailto:hstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. This note replaces the Inspector General contact information cited in previous notice of award.

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**SECTION III – TERMS AND CONDITIONS – 5U59EH000489-08**

This award is based on the application submitted to, and as approved by, CDC on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The HS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

This award has been assigned the Federal Award Identification Number (FAIN) U59EH000489. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

**Treatment of Program Income:**  
Additional Costs

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**SECTION IV – EH Special Terms and Conditions – 5U59EH000489-08**

Funding Opportunity Announcement (FOA) Number: EH14-1404  
Award Number: 5U59EH000489 - 08  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

**45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

**AWARD INFORMATION**

**Incorporation: The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number EH14-1404, entitled Comprehensive Asthma Control Through Evidence-Based Strategies and Public Health—Health Care Collaboration, and application dated April 22, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.**

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding: Funding in the amount of \$550,000 is approved for the Year 08 budget period, which is September 1, 2016 through August 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.**

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts

section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, October 3, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By October 3, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

Please provide a breakdown of the \$60,000 for 2 contacts for Salt lake County

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

**Addition alternative:** Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## **FUNDING RESTRICTIONS AND LIMITATIONS**

**Programmatic Restrictions:** Ensure that 3 people travel to and participate in the Air Pollution and Respiratory Health Asthma Grantees Meeting for Four nights in Atlanta, Georgia

Ensure that staffing plan includes at least 2.5 public health professionals, at least one FTE of which is a full-time project manager. (b) a distribution of project management, epidemiology, evaluation, and communication expertise appropriate for carrying out the proposed project activities (grantee may contract for needed services)

All vacant staff positions must be filled in a timely manner. If not, CDC may use these unobligated funds to offset subsequent year's funding

### **Indirect Costs:**

1. Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70% of the base, which includes, direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 16 funds will expire September 30, 2016. All FY 16 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by November 30, 2017. Reporting timeframe is September 1, 2016 through August 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **May 1, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

### **Audit Requirement:**

Domestic Organizations (*including US-based organizations implementing projects with foreign components*): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.frs.gov](http://www.frs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.frs.gov](http://www.frs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.frs.gov/specify](http://www.frs.gov/specify).

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and

- \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct



benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by May 1, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:  
<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 5U59EH000489 - 08, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a

useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:  
[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:**

Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements 41 U.S.C. 4712.

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

#### 3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

#### 3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at 41 U.S.C. 4712 by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR 3.908.

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C. 4712, as described in section 3.908 of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services

P.O. Box 6021

Rockville, MD 20852

Phone Number: (877) 614-5533

Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)

Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:

Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the " P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **000489EH14**  
Subaccount Title: **EH141404COMPASTHMA14**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is 09/01/2014 through 08/31/2019. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**  
Daniel Burrows, Project Officer  
Centers for Disease Control  
(CDC/ONDIEH/NCEH)  
Cham Bldg. 106, Rm 6030  
Chamblee, GA 30341-3717  
Telephone: 770-488-3722  
Fax: 770-488-1540  
Email: [zpc3@cdc.gov](mailto:zpc3@cdc.gov)

**STAFF CONTACTS**

**Grants Management Specialist:** Damond Barnes  
 Grants Management Specialist  
 Centers For Disease Control and Prevention (CDC)  
 Procurement and Grants Office (PGO)  
 2920 Brandywine Rd, Mailstop: E-18  
 Atlanta, GA 30341  
**Email:** xhp5@cdc.gov **Phone:** 770-488-2611

**Grants Management Officer:** Ralph U Robinson  
 Center for Disease Control and Prevention  
 Procurement and Grants Office  
 Koger Center/Colgate Bldg/Room 3218  
 2920 Brandywine Road, MS K-70  
 Atlanta, GA 30331  
**Email:** inp2@cdc.gov **Phone:** 770-488-2441 **Fax:** 770-488-2670

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 5U59EH000489-08

**INSTITUTION:** UTAH STATE DEPARTMENT OF HEALTH

Budget	Year 8	Year 9	Year 10
Salaries and Wages	\$165,616		
Fringe Benefits	\$115,338		
Personnel Costs (Subtotal)	\$280,954		
Consultant Services	\$175		
Travel Costs	\$4,461		
Other Costs	\$15,705	\$550,000	\$550,000
Consortium/Contractual Cost	\$213,024		
TOTAL FEDERAL DC	\$514,319	\$550,000	\$550,000
TOTAL FEDERAL F&A	\$35,681		
TOTAL COST	\$550,000	\$550,000	\$550,000



**National Center for Environmental Health  
EHHE/APRHB  
Technical Review**

**Awardee Name:** Utah Department of Health

**Award #:** 5 U59 EH000489-08

**Budget Year:** 9/1/2016 – 8/31/2017

**FOA #:** CDC-RFA-EH14-140403CONT16

**Title:** Comprehensive Asthma Control Through Evidence-based Strategies and Public Health—  
Health Care Collaboration

**Requested Amount:** \$ 550,000

**Recommended Award Amount:** \$ 550,000

Actual Unobligated Funds: \$ 000,000

Estimated Unobligated Funds: \$ 000,000

**1. Response to Technical Review:**

The awardee must submit a response to the weaknesses and recommendations identified in the Technical Review within 30 days from receipt date of the Notice of Award.

**(Note: Awardee's response should be reflective only of the weaknesses identified therefore; resubmission of the entire application is not required.)**

No response to Technical Review is required.

**2. Budget and Work Plan:**

Revised Budget and Work Plan are needed due to a reduction in proposed budget, which affects the proposed activities/work plan.

Revised budget and work plan are required due to (provide reasons):  
\_\_\_\_\_

Revised budget and work plan are **NOT** required.

**3. Performance:**

The project officer certifies performance is satisfactory to date and continued funding is recommended.

The project officer certifies performance is not fully satisfactory to date and weaknesses and recommendations should be addressed. Continued funding should be restricted until attached recommendations are met.

The project officer has determined performance to date has been less than satisfactory and continued funding is denied. The project officer's determination is based on factual data below as published in the funding opportunity announcement.

**Project Officer's Name:** Daniel J. Burrows

**Project Officer's Signature:**  **Date:** 04/29/2016

**National Center for Environmental Health  
EHHE/APRHB  
Technical Review**

**Grantee Name:** Utah Department of Health      **Reporting Period:** 3/1/2015 – 2/28/2016

**Award #:** 5 U59 EH000489-08

**I. Annual Performance Report**

A thorough review of the annual progress report has been performed. The review considered the evaluation criteria published in the funding opportunity announcement. Based on the review, the following issues were identified:

A. Summary of Major Strengths:

1. Infrastructure

a. Leadership/Strategic Partnerships

- The Utah Asthma Program (UAP) promoted statewide planning, coordination and expansion of asthma activities through three formal meetings of the Utah Asthma Task Force (ATF). In addition, the grantee continued to participate in Bureau of Health Promotion (BHP) internal workgroups to improve integration of program activities. The program works with external partners through contacts and the Asthma Task Force.
- The program promotes adoption of evidence-based strategies by payer and health care providers with their partners. They will continue to work with their partners who developed the Health Systems Partnership survey to promote comprehensive asthma control services.
- The Evaluator left employment with the state but no provides evaluation services as a contractor. The program has more than the 2.5 FTEs required by the FOA.
- Strategic Partnerships – the grantee has an inclusive base of key internal and external partners including local health departments (that reach to the local schools and home/housing programs), ALA of UT, university programs, school nurse consultant and other internal and external partners.
- The target population include those within the two most populated counties in the state, with increased ED visits and hospitalizations for asthma (identified through the grantees surveillance system). Home-based services are provided by the local health units.
- Partners and Health Systems Strategies – The grantee works with the Asthma Task Force, Health Systems workgroup, Molina Healthcare, Medicaid, UT CHW Advisory Board, and the BHP workgroups to engage new partners and implement health systems strategies. The grantee also consults with other state asthma program to learn about their experience in areas like Health Systems.
- New partners include a children’s hospital (project to establish linkages from ED to asthma care across UT hospitals), multiple clinics, health care systems/plans, the UT Pediatric Improvement Partnership.
- A UT workgroup is piloting a project to collect an EHR data from Revere Health and Asthma questions have been added to a survey of UT health systems EHRs.

b. Strategic Communication

- The grantee has gone above the FOA requirement and developed the Utah Asthma Program Communications and Social Media Plan through BHP and the UTDOH Officer of Public Information Management.

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- The grantee participates in the quarterly Asthma Communication Group calls and reviews all materials against the CDC communication guidance.
- The communication plan is used to develop and disseminate surveillance and evaluation findings. They are using targeted campaigns (e.g., flu, back to school, guidance for school recess, integrated pest management), have created fact sheets, have a Facebook page and utilize the UT DOH website. They have a broad audience including, people with asthma and their caregivers, DOH staff, legislative branch staff, the general public, as well as other groups. People with asthma and their caregivers are a specific target audience for information. A broad base of products have been distributed in multiple media. Multiple partners and outlet for dissemination are being used.

c. Surveillance

- The grantee stated that all of the Core and Additional datasets are available at least through 2014.
- The grantee indicated that several core measures were used to guide program activities, these measures were used to identify high burden areas across the state with a special focus on funded local health department.
- The grantee describes the at-risk/disproportionately affected subpopulations and the datasets that they used to identify them. ED visit data have been listed as one of dataset to identify the at-risk/disproportionately affected subpopulations.
- The grantee provided the hospital discharge and ED visit data to CDC through 2013.
- An online interactive map was created that highlights areas with a high burden of ED visits among Hispanics. This map also allows the user to click on an area and view the social, economic, political, and demographic makeup. This information will help local health departments deliver more customized CACS.

d. Evaluation

- Report clearly indicates grantee's solid understanding of the benefits of evaluation and how findings can and are being used to continuously make program improvements.
- The grantee has established a culture of evaluation within their program. Evaluation is woven through their narrative and the intent to use evaluation for program improvement is explicitly stated in many instances. Stakeholders are fully engaged in evaluation activities: in keeping with a stakeholder driven evaluation approach, the grantee regularly engages stakeholders in planning, implementation and for interpretation of evaluation findings. Program staff actively lead evaluation activities beyond the state asthma program (e.g., the CHW coalition).
- The grantee regularly reviews the SEP with stakeholders and prioritizes based on needs. Within the scope of the plan, the grantee is undertaking an innovative systems scan. By using an evaluative approach, the grantee plans to better understand system dynamics and identify optimal strategies to expand school-based services.

2. Services Strategies

- The grantee is implementing all four services strategies, asthma self-management education (AS-ME), linkages to care, education for caregivers and policies supportive of asthma control. They are coordinating services in the same high-risk target populations (Rose Park, Glendale, and South Provo) within the two most populated counties.
- AS-ME – The grantee, the two partner LHUs and the ALA UT are working with three

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school districts (in areas with high hospitalizations or ED visits for asthma) to provide AS-ME. They are implement ALA's pen Airways for Schools and Kickin' Asthma AS-ME curricula that are based in the NIH EPR-3 Asthma Guidelines. The grantee has been working with many partners and programs (e.g., WIC) to expand the AS-ME program services in the schools and homes. The Winning with Asthma program is offered for adults with asthma.

- Linkages to Care – Participants in the school or home-based AS-ME programs who do not have a primary provider are linked to local clinics. If they do not have health insurance, they are referred to local health insurance navigators. The LHU follows up with the families to determine if they are linked to care and the health insurance navigator. The initial home-based visit includes information on asthma medications and adherence. Subsequent visits include improving asthma control and trigger reduction.
- Education for Caregivers – the LHU staff are responsible for providing home-based, school-based asthma education and for school staff. The home visitor program provides services for children and adults. A caregiver must be present for all home visits for children.
- Policies – The grantee promotes integrated pest management in schools (UT Administrative Rule), adherence to the inhaler self-carry law, and the School Resource Guidance around air quality actionable days.
- Coverage and Reimbursement – The grantee is working on a business case with the state Medicaid Program.
- The grantee complied cultural competence resources to identify standards to be include in their plan. Program materials will be translated into Spanish (second most common ethnic group in UT) and Spanish-speaking employees are available at each LHU to conduct home-based services.

3. Health Systems Strategies

- Quality Improvement strategies are being implemented through the LHUs, Molina Health Care, and the UT Pediatric Improvement Partnership (UPIQ) which overlap with the Services Strategies populations.
- Team-base Care – The grantee is working with the Utah CHW Advisory Board and Coalition, UT Public Health Association, Association for UT Community Health and IHC to establish a state CHW core competency training to be implemented by the end of 2016.
- The grantee works with the Health Systems Partnership to develop and promote state care coordination best-practices. The grantee and the Utah Asthma Task Force developed the Asthma CHW Training module. They also supported the UT Children Care Coordination Network to provide comprehensive asthma control services training and resources.
- Systems Level Linkages – the grantee explained this in the Service Strategies section. Among others, the grantee partners with LHUs, UPIQ, IHC, and Healthy Living through Environment, Policy, and Improved Clinical Care (EPICC) for systems level linkages. Asthma measures were include in the community health need assessment for Intermountain Healthcare of Utah (IHC). The grantee is exploring reimbursement for pharmacy asthma self-management education services.

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4. Work plans

Part I: Budget period 9/1/2014 – 8/31/2015 (activities from 3/1/2015 – 8/31/2015)

- Most of the Year 1 Work Plan activities were met. Those that were unmet were due to external partner influence. Grantee will continue to pursue the activities (e.g., ROI of the Molina alert system extended to 2016, Medicaid reimbursement policy process).
- 

Part II: Budget period 9/1/2015 – 8/31/2016 (activities from 9/1/2015 – 2/29/2016)

- The grantee met most of the Year 2 Work Plan activities. A few activities were unmet but the grantee will still have the remainder of Budget Year 2 to work on this activities.
- 

5. Performance Measurement and Evaluation Results

- The grantee has provided the Performance Measures as requested.

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**B. Summary of Major Weaknesses:**

1. Infrastructure
  - a. Leadership/Strategic Partnerships
    - No significant weaknesses were identified.
  - b. Strategic Communication
    - No significant weaknesses were identified.
  - c. Surveillance
    - No significant weaknesses were identified.
  - d. Evaluation
    - No significant weaknesses were identified.
2. Services Strategies
  - No significant weaknesses were identified.
3. Health Systems Strategies
  - No significant weaknesses were identified.
4. Work plans
  - Part I: Budget period 9/1/2014 – 8/31/2015
    - Significant weakness were not identified.
  - Part II: Budget period 9/1/2015 – 8/31/2016
    - Significant weaknesses were not identified.
5. Performance Measurement and Evaluation Results
  - Significant weakness were not identified.

**C. Other Relevant Comments:**

- None.

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D. Recommendations:

1. 1. Infrastructure

a. Leadership/Strategic Partnerships

- Continue to work with their partners who developed the Health Systems Partnership survey to promote comprehensive asthma control services.

b. Strategic Communication

- None.

c. Surveillance

- None.

d. Evaluation

- None.

2. Services Strategies

- Continue to work with Medicaid on the asthma business case and reimbursement.

3. Health Systems Strategies

- None.

4. Work plans

Part I: Budget period 9/1/2014 – 8/31/2015

- None.

Part II: Budget period 9/1/2015 – 8/31/2016

- None.

5. Performance Measurement and Evaluation Results

- None.

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**II. New Budget Period Proposal**

**Budget Year: 9/01/2016 – 8/31/2017**

A thorough review of the annual progress report has been performed. The review considered the evaluation criteria published in the funding opportunity announcement. Based on the review, the following issues were identified:

A. Summary of Major Strengths:

1. Infrastructure

a. Leadership/Strategic Partnerships

- The grantee plans to continue the activities from the past two years. They plan to re-energize and expand the Asthma Task Force.
- The grantee will work with partners to make systems-level sustainable changes. They will continue efforts to collect health systems data. They plan to use the health system partnership survey to help prioritize potential partnerships.
- The grantee plans to expand comprehensive asthma control services to at least three payer, FQHCs, Medical Homes, hospital systems or school-based clinics. They will establish at least one new MOA with a health system partner.
- Staffing will remain the same. An evaluator will be hired.

b. Strategic Communication

- The grantee will continue to implement the strategic communication plan that was developed in Year 2 of the cooperative agreement. They will use multiple media to disseminate information (e.g. website, UT Asthma Program listserv). Some material will be targeted to specific audiences.
- 

c. Surveillance

- The grantee plans to collect many Additional Datasets.
- The grantee proposes using core and additional measures to guide program activities in Year 3. Grantee proposes to add asthma control measures (ACBS, PNA) to identify high burden small areas and high burden area where home, school and clinic partners can work together to provide CACS to target population.
- The grantee indicated the data sets it proposes to use to identify at-risk/disproportionately affected subpopulations, asthma control measures will be additional measures for identifying identify at-risk/disproportionately affected subpopulations during year 3.
- Grantee proposes to collect one additional health system dataset (HEDIS, 2014), which contained performance for managed care plan during year 3.
- Grantee proposes to provide the hospital discharge and ED visit data to CDC through 2014.

d. Evaluation

- The grantee plans to continue integrating evaluation throughout their programming and will leverage evaluation processes and results to promote comprehensive services/health systems integration.
- Position descriptions for staff, including contracts, include roles related to evaluation.

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2. Services Strategies

- Home-based AS-ME - The target population for home-based visits for asthma are individuals with persistent, uncontrolled asthma based upon clinician referral. Home-based services will be offered in the same areas as school-based services. The UT Asthma Program developed the home-based AS-ME curriculum.
- School-based AS-ME – the program will target four school districts and implement AS-ME program in eight schools (elementary and secondary schools) in the high asthma burden areas. The target population will be students with persistent, uncontrolled asthma.
- Linkages to Care – the program will continue with the activities described in the Annual Performance Report section.
- Education for Caregivers - the program will continue with the activities described in the Annual Performance Report section. The ALA of Utah will offer training for school staff in the target areas on Asthma Basics and what to do when a child has an asthma attack. Education for caregivers in home-based settings will continue as previously described.
- Policies – the activities will continue as described for Year 2. The grantee will also explore tobacco policies supported by the Tobacco-Free Environment group.
- The grantee continues to work with the disparate populations as identified through the burden report.

3. Health Systems Strategies

- The grantee will continue to focus on all four areas of this strategy (QI, Team-based Care, Coverage and Reimbursement, and Systems Level Linkages) with the activities as described in the Annual Performance Report. This strategy requires long-term system-level changes so the grantee will continue this work through 2017.
- The QI activities will be implemented in the same population/areas as the Services Strategies.
- Team-based Care – The Utah CHW Advisory Board, and multiple partners are furthering their efforts to certify CHWs. The Asthma CHW Training will be established as an approved module of the state CHW Core Competency Training.
- Coverage and Reimbursement – The grantee will continue to work with the State Medicaid Program to seek reimbursement for the Utah Asthma Home Visiting Program. The grantee will use the CDC Medicaid 6/18 Initiative to develop partnerships united to achieving optimal care for asthma and the other five conditions. They will seek reimbursement for CHWs and pharmacy AS-ME services.
- System-level Linkages – The grantee will continue the work that initiated in the first years of the cooperative agreement. The work to increase referrals in collaboration with other chronic disease programs in the UT DOH.

4. Work plan

- The grantee provided a Work Plan for Year 3 but also included activities for Years 4 and 5. Completion dates were provided for the Year 3 Activities. The Work Plan is divided by major strategy and sub-strategies from the FOA.

5. Performance Measurement and Evaluation Results

- The grantee include the Performance Measures associate with each of the categories in the Work Plan.

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B. Summary of Major Weaknesses:

1. Infrastructure

- a. Leadership/Strategic Partnerships
  - No significant weakness were identified.
- b. Strategic Communication
  - No significant weakness were identified.
- c. Surveillance
  - No significant weakness were identified.
- d. Evaluation
  - No significant weakness were identified.

2. Services Strategies

- No significant weakness were identified.

3. Health Systems Strategies

- No significant weakness were identified.

4. Work plan

- No significant weakness were identified.

5. Performance Measurement and Evaluation Results

- No significant weakness were identified.

C. Other Relevant Comments:

- None.

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D. Recommendations:

1. Infrastructure

a. Leadership/Strategic Partnerships

- None

b. Strategic Communication

- None

c. Surveillance

- None

d. Evaluation

- None

2. Services Strategies

- None

3. Health Systems Strategies

- None

4. Work plan

- None

5. Performance Measurement and Evaluation Results

- None

Other Reviewers:

Surveillance:

Ting Qin

Evaluation:

Maureen Wilce



NATIONAL CENTER FOR ENVIRONMENTAL HEALTH

**Grant Number:** 5U88EH001153-03  
**FAIN:** U88EH001153

**Principal Investigator(s):**  
SANWAT CHAUDHURI, PHD

**Project Title:** THE 4 CORNER STATES ARE COLLABORATING TO DEVELOP AND ENHANCE BIOMONITORING CAPABILITY TO ASSESS HUMAN EXPOSURE IN THIS REGION

SHARI WATKINS  
DIR, OFF OF FISCAL OPS  
288 NORTH 1460 WEST  
BOX 144003  
SALT LAKE CITY, UT 841142100

**Award e-mailed to:** acristaudo@utah.gov

**Budget Period:** 09/01/2016 – 08/31/2017

**Project Period:** 09/01/2014 – 08/31/2019

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$787,870 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UT ST DIVISION OF HEALTH in support of the above referenced project. This award is pursuant to the authority of PHS Act, Sec 1706, 42 USC 300u-5, as amended; Sec 2(d), PL 98-551 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.

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

Sincerely yours,

Tiffany Mannings  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

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**SECTION I – AWARD DATA – 5U88EH001153-03****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$134,461
Fringe Benefits	\$73,091
Personnel Costs (Subtotal)	\$207,552
Supplies	\$1,200
Travel Costs	\$8,676
Other Costs	\$23,739
Consortium/Contractual Cost	\$520,344

Federal Direct Costs	\$761,511
Federal F&A Costs	\$26,359
Approved Budget	\$787,870
Federal Share	\$787,870
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$787,870</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$787,870**

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

04 \$1,000,000  
05 \$1,000,000

**Fiscal Information:**

CFDA Number: 93.070  
EIN: 1876000545B1  
Document Number: 001153EH14

IC	CAN	2016	2017	2018
EH	939ZTFM	\$787,870	\$1,000,000	\$1,000,000

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$787,870	\$787,870
4	\$1,000,000	\$1,000,000
5	\$1,000,000	\$1,000,000

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

**CDC Administrative Data:**

PCC: / OC: 4151 / Processed: MANNINGST 05/18/2016

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5U88EH001153-03**

For payment information see Payment Information section in Additional Terms and Conditions.

INSPECTOR GENERAL: The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hhtips@oig.hhs.gov](mailto:hhtips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. This note replaces the Inspector General contact information cited in previous notice of award.

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**SECTION III – TERMS AND CONDITIONS – 5U88EH001153-03**

This award is based on the application submitted to, and as approved by, CDC on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The HS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

This award has been assigned the Federal Award Identification Number (FAIN) U88EH001153. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – EH Special Terms and Conditions – 5U88EH001153-03**

Funding Opportunity Announcement (FOA) Number: EH14-1402

Award Number: 5 U88 EH 001153 - 03

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

**45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

**AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number EH14-1402, entitled State-based Public Health Laboratory Biomonitoring Programs, and application dated April 15, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$787,870 is approved for the Year 03 budget period, which is September 1, 2016 through August 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the

required information by the due date, October 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## **FUNDING RESTRICTIONS AND LIMITATIONS**

### **Indirect Costs:**

Indirect Cost Rates are based on the rate agreement dated August 12, 2015, which calculates indirect costs as follows, a Fixed is approved at a rate of 12.7% of the base, which includes, direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2015 to June 30, 2016.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying



D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 16 funds will expire September 30, 2016. All FY 16 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by November 30, 2017. Reporting timeframe is September 1, 2016 through August 31, 2017. The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf) The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, August 31, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

## **Audit Requirement:**

Domestic Organizations (***including US-based organizations implementing projects with foreign components***): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

### **Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsr.gov](http://www.fsr.gov).

### Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsr.gov](http://www.fsr.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must

be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsr.gov](http://www.fsr.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

**Definitions:**

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.

- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions

- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 5 U88 EH 001153 - 03, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of

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

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “subgrant,” or “subgrantee”):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533\_  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:

Bhavin Patel (301) 492-4918\_  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.



Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **001153EH14**  
Subaccount Title: **EH141402STBASPFLAB14**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## **CLOSEOUT REQUIREMENTS**

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is 09/01/2014 through 08/31/2019. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the

delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Kristin Dortch, Project Officer  
Centers for Disease Control  
CHAM Bldg 102  
Cube 2S16 MS F47  
Chamblee, GA 30341-3717  
Telephone: 770-488-0346  
Fax: 770-488-0181  
Email: iop2@cdc.gov

**STAFF CONTACTS**

**Grants Management Specialist:** Wanda Tucker  
2920 Brandywine Road, NE  
Mail Stop E-01  
Atlanta, GA 30341  
**Email:** kna9@cdc.gov **Phone:** 770-488-5056 **Fax:** 770-488-2640

**Grants Management Officer:** Tiffany Mannings  
Center for Disease Control and Prevention  
Procurement and Grants Office  
Koger Center/Stanford Bldg/Room 2050  
2920 Brandywine Road, MS E-01  
Atlanta, GA 30031  
**Email:** yuo7@cdc.gov **Phone:** 770-488-2515 **Fax:** 770-488-2671

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 5U88EH001153-03

**INSTITUTION:** UTAH STATE DEPARTMENT OF HEALTH

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$134,461		
Fringe Benefits	\$73,091		
Personnel Costs (Subtotal)	\$207,552		
Supplies	\$1,200		
Travel Costs	\$8,676		
Other Costs	\$23,739	\$1,000,000	\$1,000,000
Consortium/Contractual Cost	\$520,344		
TOTAL FEDERAL DC	\$761,511	\$1,000,000	\$1,000,000
TOTAL FEDERAL F&A	\$26,359		
TOTAL COST	\$787,870	\$1,000,000	\$1,000,000



1. DATE ISSUED MM/DD/YYYY | 2. CFDA NO. | 3. ASSISTANCE TYPE  
 08/11/2016 | 93.539 | Project Grant

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
 PHS 317, 42 USC, SEC. 247B

1a. SUPERSEDES AWARD NOTICE dated 06/03/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. | 5. ACTION TYPE  
 6 NH23IP000771-04-04 | Post Award  
 Formerly 3H23IP000771-03S1 | Amendment

6. PROJECT PERIOD | MM/DD/YYYY  
 From 09/30/2013 | Through 12/31/2017

7. BUDGET PERIOD | MM/DD/YYYY  
 From 01/01/2016 | Through 12/31/2016

8. TITLE OF PROJECT (OR PROGRAM)  
 The program to support efforts to plan, develop, and maintain a public health wor

9a. GRANTEE NAME AND ADDRESS | 9b. GRANTEE PROJECT DIRECTOR  
 Utah Department of Health | Mr. RICHARD G LAKIN  
 288 N 1460 W | 288 NORTH 1460 WEST  
 Family Health and Preparedness-DUP2 | PO BOX 142001  
 SALT LAKE CITY, UT 84116-3231 | UTAH DEPT OF HEALTH  
 SALT LAKE CITY, UT 84116

10a. GRANTEE AUTHORIZING OFFICIAL | 10b. FEDERAL PROJECT OFFICER  
 Ms. Shari Watkins | Ms. Elizabeth Sullivan  
 1600 Clifton Rd  
 Atlanta, GA 30329  
 Phone: 404-639-6220

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>		<b>12. AWARD COMPUTATION</b>	
I Financial Assistance from the Federal Awarding Agency Only		a. Amount of Federal Financial Assistance (from item 11m) 3,384,612.00	
II Total project costs including grant funds and all other financial participation <input checked="" type="checkbox"/>		b. Less Unobligated Balance From Prior Budget Periods 326,236.00	
a. Salaries and Wages .....	1,004,135.00	c. Less Cumulative Prior Award(s) This Budget Period 2,202,837.00	
b. Fringe Benefits .....	602,493.00	<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b> 855,539.00	
c. Total Personnel Costs .....	1,606,628.00	<b>13. Total Federal Funds Awarded to Date for Project Period</b> 13,760,687.00	
d. Equipment .....	0.00	<b>14. RECOMMENDED FUTURE SUPPORT</b>	
e. Supplies .....	193,340.00	<i>(Subject to the availability of funds and satisfactory progress of the project):</i>	
f. Travel .....	55,155.00	YEAR	TOTAL DIRECT COSTS
g. Construction .....	0.00	a. 5	d. 8
h. Other .....	229,232.00	b. 6	e. 9
i. Contractual .....	1,096,213.00	c. 7	f. 10
j. TOTAL DIRECT COSTS →	3,180,568.00	<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>	
k. INDIRECT COSTS	204,044.00	a. DEDUCTION	
<b>l. TOTAL APPROVED BUDGET</b>	<b>3,384,612.00</b>	b. ADDITIONAL COSTS	
m. Federal Share	3,384,612.00	c. MATCHING	
n. Non-Federal Share	0.00	d. OTHER RESEARCH (Add / Deduct Option)	
		e. OTHER (See REMARKS)	
		<b>16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:</b>	
		a. The grant program legislation	
		b. The grant program regulations.	
		c. This award notice including terms and conditions, if any, noted below under REMARKS.	
		d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.	
		In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.	

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Anella Higgins**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST
21. a. 6-93905C5	b. 000771NC16	c. 93.539	d. IP	e. \$855,539.00
22. a.	b.	c.	d.	f.
23. a.	b.	c.	d.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/11/2016
GRANT NO. 6 NH23IP000771-04-04	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$0.00	\$0.00

# AWARD ATTACHMENTS

Utah Department of Health

6 NH23IP000771-04-04

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1. PPHF Terms and Conditions - Utah IP000771

**Funding Opportunity Announcement (FOA) Number: RFA-IP13-1301**

**Award Number: 5H23IP000771-04S1 PPHF**

**ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT ONE**

1. The purpose of this amendment is to provide supplemental 317 and/or Vaccine for Children Financial Assistance. These funds are reflective of the recommended amounts for Round 2 of the Immunization and Vaccines for Children Grants. These funds have been awarded as indicated in the attached spreadsheet which is incorporated by reference.
2. Grantees must exercise proper stewardship over Federal funds by ensuring that all cost charges to their cooperative agreement are allowable, allocable, and reasonable and that they address the highest priority needs as they relate to local injury prevention efforts.
3. The other terms and conditions issued with the original award will remain in full effect throughout the budget period unless otherwise changed, in writing by the Grants Management Officer.

**PLEASE REFERENCE THE AWARD NUMBER ON ALL CORRESPONDENCE**



ACV16

1. DATE ISSUED MM/DD/YYYY 08/05/2016	2. CFDA NO. 93.521	3. ASSISTANCE TYPE Cooperative Agreement
1a. SUPERSEDES AWARD NOTICE dated 07/22/2016 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded		
4. GRANT NO. 6 NU50CK000372-03-01 Formerly 3U50CK000372-02S1	5. ACTION TYPE Post Award Amendment	
6. PROJECT PERIOD From 03/31/2015 <i>See</i> <i>noK</i> Through 07/31/2019	MM/DD/YYYY	
7. BUDGET PERIOD From 08/01/2016 <i>below</i> Through 07/31/2017	MM/DD/YYYY	

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 42 USC 241 31 USC 6305 42 CFR 52

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah's proposal for activities within the PPHF 2014 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) cooperative agreement.

9a. GRANTEE NAME AND ADDRESS Utah Department of Health 288 N 1460 W Salt Lake City, UT 84116-3231	9b. GRANTEE PROJECT DIRECTOR Ms. MELISSA DIMOND 288 N 1460 W PO BOX 144003 UTAH DEPT OF HEALTH SALT LAKE CITY, UT 84114-4003
10a. GRANTEE AUTHORIZING OFFICIAL Ms. Shai Watkins PO Box 142001 Salt Lake City, UT 84114-2001 Phone: 801-538-6141	10b. FEDERAL PROJECT OFFICER Janice Downing 1600 Clifton Rd Atlanta, GA 30333 Phone: 404-639-7808

**ALL AMOUNTS ARE SHOWN IN USD**

11. APPROVED BUDGET (Excludes Direct Assistance)		12. AWARD COMPUTATION	
I Financial Assistance from the Federal Awarding Agency Only <input type="checkbox"/>		a. Amount of Federal Financial Assistance (from Item 11m) 4,397,359.00	
II Total project costs including grant funds and all other financial participation <input type="checkbox"/>		b. Less Unobligated Balance From Prior Budget Periods 0.00	
a. Salaries and Wages ..... 1,491,009.00		c. Less Cumulative Prior Award(s) This Budget Period 2,869,166.00	
b. Fringe Benefits ..... 897,473.00		d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 1,528,193.00	
c. Total Personnel Costs ..... 2,388,482.00		13. Total Federal Funds Awarded to Date for Project Period 11,247,808.00	
d. Equipment ..... 70,700.00		14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):	
e. Supplies ..... 254,727.00		YEAR	TOTAL DIRECT COSTS
f. Travel ..... 62,765.00		a. 4	d. 7
g. Construction ..... 0.00		b. 5	e. 8
h. Other ..... 191,654.00		c. 6	f. 9
i. Contractual ..... 1,139,200.00		15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:	
j. TOTAL DIRECT COSTS → 4,107,528.00		a. DEDUCTION	
k. INDIRECT COSTS 289,831.00		b. ADDITIONAL COSTS	
l. TOTAL APPROVED BUDGET 4,397,359.00		c. MATCHING	
m. Federal Share 4,397,359.00		d. OTHER RESEARCH (Add / Deduct Option)	
n. Non-Federal Share 0.00		e. OTHER (See REMARKS)	
REMARKS (Other Terms and Conditions Attached - <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No)		16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:	
NOTE: Correct Project Period start date should read: Project Period 08/01/2014 TO 7/31/2019 Budget Period 08/01/2016 TO 7/31/2017.		a. The grant program legislation	
		b. The grant program regulations.	
		c. This award notice including terms and conditions, if any, noted below under REMARKS.	
		d. Federal administrative requirements, cost principles and audit requirements applicable to this grant	
		In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.	

GRANTS MANAGEMENT OFFICIAL: **Anella Higgins**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST
21. a. 6-93905GE	b. 000372CK14	c. 93.323	d. CK	e. \$119,260.00
22. a. 6-93906C2	b. 000372CK14	c. 93.323	d. CK	e. \$64,448.00
23. a. 6-93906KY	b. 000372CK14	c. 93.323	d. CK	e. \$735,924.00
				f. 75-X-0951
				f. 75-X-0951
				f. 75-X-0949

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/05/2016
GRANT NO. 6 NU50CK000372-03-01	

FY-ACCOUNT NO.	DOCUMENT NO.	CFDA.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 6-939ZDKP	b. 000372CK14	c. 93.323	d. CK	e. \$608,561.00	f. 75-X-0949

## AWARD ATTACHMENTS

Utah Department of Health

6 NU50CK000372-03-01

1. T & C CK372 Utah DOH PPHF YR03

Funding Opportunity Announcement (FOA) Number: RFA-CK14-1401PPHF14

Award Number: **5 U50 CK000372-03**

Award Type: **Cooperative Agreement**

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number **RFA-CK14-1401PPHF14, entitled PPHF 2016 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) – Building and Strengthening Epidemiology, Laboratory and Health Information Systems Capacity in State and Local Health Department**, and application dated May 27, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$1,528,193** is approved for the Year 03 budget period, which is **August 1, 2016 through July 31, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Funded by the Prevention and Public Health Fund

**Budget Revision Requirement:** By September 15, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

**INDIRECT COSTS:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated July 16, 2014, which calculates indirect costs as follows: Total direct costs excluding capital expenditures (buildings, individual items of equipment; alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The approved provisional rate is 20.05%. The effective dates of this indirect cost rate are from **07/01/2016 until June 30, 2018**.

### **COST LIMITATIONS AS STATED IN THE CONSOLIDATED APPROPRIATIONS ACT, 2014:**

A. Cap on Salaries (DIV. H, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under and HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. H, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Proper Use of Appropriations – Publicity and Propaganda (LOBBYING) FY2012 (Div. H, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in the Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant of contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restrictions on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at:

[http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtm](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm) and Anti Lobbying Restrictions for CDC Grantees at: [http://www.cdc.gov/od/pgo/funding/grants/Anti-lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/od/pgo/funding/grants/Anti-lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf).

D. Needle Exchange (Div. H, Title V, Sec. 522): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Restricts dealing with corporations with recent felonies (Div. E, Title VI, Sec 623): None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) or a felony criminal violation under and Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

**RENT OR SPACE COSTS:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply and 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); and 2 CFR Part 230, Cost Principles for Non-Profits Organizations (OMB Circular A-122). The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current

1. DATE ISSUED MM/DD/YYYY | 2. CFDA NO. | 3. ASSISTANCE TYPE  
 08/30/2016 | 93.815 | Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
 42 USC 241 31 USC 6305 42 CFR 52

1a. SUPERSEDES AWARD NOTICE dated 08/22/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. | 5. ACTION TYPE  
 6 NU50CK000372-03-03 | Post Award  
 Formerly 3U50CK000372-02S1 | Amendment

6. PROJECT PERIOD | MM/DD/YYYY  
 From 03/31/2015 | Through 07/31/2019

7. BUDGET PERIOD | MM/DD/YYYY  
 From 08/01/2016 | Through 07/31/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah's proposal for activities within the PPHF 2014 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) cooperative agreement.

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. MELISSA DIMOND  
 288 N 1460 W  
 PO BOX 144003  
 UTAH DEPT OF HEALTH  
 SALT LAKE CITY, UT 84114-4003

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Janice Downing  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 404-639-7808

**ALL AMOUNTS ARE SHOWN IN USD**

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <b>I</b>	
a. Salaries and Wages .....	2,463,855.00
b. Fringe Benefits .....	1,483,052.00
c. Total Personnel Costs .....	3,946,907.00
d. Equipment .....	116,830.00
e. Supplies .....	423,930.00
f. Travel .....	123,931.00
g. Construction .....	0.00
h. Other .....	323,703.00
i. Contractual .....	1,882,499.00
j. TOTAL DIRECT COSTS →	6,817,800.00
k. INDIRECT COSTS	478,938.00
l. TOTAL APPROVED BUDGET	7,296,738.00
m. Federal Share	2,899,379.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	2,899,379.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	2,869,166.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	30,213.00
13. Total Federal Funds Awarded to Date for Project Period	11,278,021.00

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4		d. 7	
b. 5		e. 8	
c. 6		f. 9	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:	
a. DEDUCTION	<b>b</b>
b. ADDITIONAL COSTS	
c. MATCHING	
d. OTHER RESEARCH (Add / Deduct Option)	
e. OTHER (See REMARKS)	

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Louvern Asante**

17. OBJ CLASS	41.51	18a. VENDOR CODE	1876000545C1	18b. EIN	876000545	19. DUNS	959347972	20. CONG. DIST.	02		
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION						
21. a.	6-93902YZ	b.	000372EB16	c.	93.815	d.	CK	e.	\$30,213.00	f.	75-1519-0943
22. a.		b.		c.		d.		e.		f.	
23. a.		b.		c.		d.		e.		f.	

# AWARD ATTACHMENTS

Utah Department of Health

6 NU50CK000372-03-03

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1. CK372 EBOLA TC YR03

Funding Opportunity Announcement (FOA) Number: RFA-CK14-1401PPHF14

Award Number: **CK000372-03**

Award Type: **Cooperative Agreement**

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number RFA-CK14-1401PPHF14, entitled **EBOLA** 2016 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) – Building and Strengthening Epidemiology, Laboratory and Health Information Systems Capacity in State and Local Health Department, and application dated May 27, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$30,213** is approved for the Year 03 budget period, which is August 1, 2016 through July 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Budget Revision Requirement:** By September 25, 2016 the grantee must submit a revised budget with a narrative justification and work plan. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

**INDIRECT COSTS:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated July 16, 2014, which calculates indirect costs as follows: Total direct costs excluding capital expenditures (buildings, individual items of equipment; alterations and renovations), that portion of each subaward in excess of \$25,000 and flow-through funds. The approved provisional rate is 20.05%. The effective dates of this indirect cost rate are from **07/01/2016 until June 30, 2018**

### **COST LIMITATIONS AS STATED IN THE CONSOLIDATED APPROPRIATIONS ACT, 2014:**

A. Cap on Salaries (DIV. H, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under and HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.



B. Gun Control Prohibition (Div. H. Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Proper Use of Appropriations – Publicity and Propaganda (LOBBYING) FY2012 (Div. H, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in the Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant of contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restrictions on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at:

[http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtm](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm) and Anti Lobbying Restrictions for CDC Grantees at: [http://www.cdc.gov/od/pgo/funding/grants/Anti-lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/od/pgo/funding/grants/Anti-lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf).

D. Needle Exchange (Div. H, Title V, Sec. 522): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Restricts dealing with corporations with recent felonies (Div. E, Title VI, Sec 623): None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) or a felony criminal violation under and Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

**RENT OR SPACE COSTS:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply and 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); and 2 CFR Part 230, Cost Principles for Non-Profits Organizations (OMB Circular A-122). The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification

which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**TRAFFICKING IN PERSONS:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**CANCEL YEAR:** 31 U.S.C. 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed year appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

FY 2005 funds will expire September 30, 2010. All FY 2005 funds should be drawn down and reported to Payment Management System (PMS) prior to September 30, 2010. After this date, corrections or cash requests will not be permitted.

**ANNUAL FEDERAL FINANCIAL REPORT (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons no later 90 days after the end the calendar quarter in which the budget period ends period. The FFR for this budget period is due to the GMS/GMO by **October 31, 2017**. Reporting timeframe is **August 1, 2016 through July 31, 2017**.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

FFR (SF-425) instructions for CDC Grantees are available at <http://grants.nih.gov/grants/forms.htm>. For further information, contact [GrantsInfor@nih.gov](mailto:GrantsInfor@nih.gov). Additional resources concerning the eFSR/FFR system, including a User Guide and an on-line demonstration, can be found on the eRA Commons Support Page: <http://www.cdc.gov/od/pgo/funding/grants/eramain.shtm>.

**PERFORMANCE REPORTING:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, **April 1, 2017**, and serves as the continuing application. This report should include the information specified in the FOA.

**AUDIT REQUIREMENT:** An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facodes/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facodes/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Procurement & Grants Office, Risk Management & Compliance Activity

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, the National External Audit Review Center will provide audit resolution instructions. CDC will resolve findings by issuing Final Determination Letters.

The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements. The grantee must also ensure that appropriate corrective action is taken within six months after receipt of the

1. DATE ISSUED MM/DD/YYYY | 2. CFDA NO. | 3. ASSISTANCE TYPE  
 06/29/2016 | 93.757 | Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

1a. SUPERSEDES AWARD NOTICE dated 06/06/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. | 5. ACTION TYPE  
 6 NU58DP004835-04-01 | Post Award  
 Formerly 3U58DP004835-03 | Amendment

6. PROJECT PERIOD | MM/DD/YYYY  
 From 06/30/2013 | Through 06/29/2018

7. BUDGET PERIOD | MM/DD/YYYY  
 From 06/30/2016 | Through 06/29/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH - TO PREVENT & CONTROL AND PROMOTE SCHOOL HEALTH

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Nicole Bissonette  
 288 North 1460 West  
 Disease Control and Prevention  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6228

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Ms. Rachel Blacher  
 4770 Buford Hwy. NE M/S F75  
 Division of Diabetes Translation  
 Chamblee, GA 30341  
 Phone: 770-488-4981

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	308,749.00
b. Fringe Benefits .....	249,166.00
c. Total Personnel Costs .....	557,915.00
d. Equipment .....	0.00
e. Supplies .....	887.00
f. Travel .....	31,886.00
g. Construction .....	0.00
h. Other .....	1,331,250.00
i. Contractual .....	128,000.00
j. TOTAL DIRECT COSTS →	2,049,938.00
k. INDIRECT COSTS	70,854.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>2,120,792.00</b>
m. Federal Share	2,120,792.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	2,120,792.00
b. Less Unobligated Balance From Prior Budget Periods	53,511.00
c. Less Cumulative Prior Award(s) This Budget Period	844,739.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>1,222,542.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>7,832,698.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 5	1,222,542.00	d. 8	
b. 6		e. 9	
c. 7		f. 10	

<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

Please see Attachment 1 for this Notice of Award (NoA) for corrections of the approved budget amounts stated on lines 11 through 13. The approved budget amounts shown in Attachment 1 supersede those stated on Page 1 of this NoA.

GRANTS MANAGEMENT OFFICIAL: Roslyn Curington, Grants Management Officer

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 90
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93905AK	b. 004835RF16	c. DP	d. \$550,773.00	e. 75-X-0948
22. a. 6-93905C7	b. 004835RF16	c. DP	d. \$671,769.00	e. 75-X-0948
23. a.	b.	c.	d.	e.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 06/29/2016
GRANT NO. 6 NU58DP004835-04-01	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NU58DP004835-04-01

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1. ATTACHMENT 1 - Approved Budget for Year 4 PPHF Award
2. Terms and Conditions for Year 4 PPHF Award
3. Technical Review



Funding Opportunity Announcement (FOA) Number: **DP13-130504PPHF16**  
Award Number: U58DP004835-04  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number **DP13-130504PPHF16**, entitled, **PPHF16: Nutrition, Physical Activity and Obesity Base Activities – State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity, and Associated Risk Factors and Promote School Health—financed in part by fiscal year 2016 Prevention and Public Health Funds** under **CDC-RFA-DP13-130504PPHF16**, and application dated February 29, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$1,222,542 is approved for the Year 4 budget period, which is June 30, 2016 through June 29, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Funded by the Prevention and Public Health Fund

**Budget Revision Requirement:** The proposed budget is tentatively approved contingent upon the receipt of a revised budget.

The information on the required segregation of budgets by Non-PPHF and PPHF was not available at the time of the continuation application. As a result, the proposed budget was not segregated by Non-PPHF and PPHF. Therefore, by August 1, 2016, the recipient must submit a revised budget for the PPHF portion of the budget in the SF 424a, section B format with a narrative justification and work plan in conjunction with the Domain based budget by using the DP13-1305 budget template. The two different formats of budgets should be reconcilable. For further guidance for using the domain based budget template, please consult with your assigned project officer. Failure to submit the revised budget by the due date may result in a restriction of funds. If the revised budget cannot be provided by the due date, the recipient must contact the assigned GMS/GMO before the due date.

The authorized budget of PPHF funds is indicated in the table below by each of the 2 divisional projects under the Enhanced Component:

Project Main Component	Enhanced Component		PPHF TOTAL
Project Subcomponents	Heart Disease & Stroke Prevention	Diabetes	Total Budget
<b>FY 16 funds Authorized</b>	<b>\$671,769</b>	<b>\$550,773</b>	<b>\$1,222,542</b>

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, August 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

**FUNDING RESTRICTIONS AND LIMITATIONS**

**Programmatic Restriction: Required Recipient Meeting:** Recipients are required to attend the DP13-1305 meeting November 30, 2016 thru December 2, 2016 in Atlanta, Georgia. If any recipient is not in compliance with this requirement of attending the 3 days, 2 nights meeting, the approved travel budget associated with the training activities will not be allowed to be redirected into other line item activities and the unobligated balance resulting from not attending the training activities will not be allowed to be used in future budget periods.

**Indirect Costs:** Approval of Indirect costs is deferred until the revised budget is approved.

**Matching Funds Requirement:** The matching funds are not required, but strongly encouraged to contribute a level of non-federal participation computed by the following guidance:

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The grantee may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**



A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

**REPORTING REQUIREMENTS**

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by September 29, 2017. Reporting timeframe is June 30, 2016 through June 29, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The following table of detailed costs tracking information by components and divisional projects must be submitted as an addendum to the annual FFR for this PPHF award to comply with the Congressional requirement:

Component Divisional Projects/Common Account Number (CAN)	ENHANCED COMPONENT		Totals (PPHF- Enhanced Component)
	Heart Disease and Stroke Prevention	Diabetes	
<b>Total Federal Funds Authorized</b>	\$ -	\$ -	\$ -
<b>Federal Share of Expenditures</b>	\$ -	\$ -	\$ -
<b>Unobligated Balance</b>	\$ -	\$ -	\$ -

**Note: cost transfer between the 2 separate divisional project activities' appropriation lines is not allowed to comply with the Congressional intent.**

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the

Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, March 1, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

**Audit Requirement:** Domestic Organizations: An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions

regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

### Reporting of First-Tier Sub-awards

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the

executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**Prevention Fund Reporting Requirements:** This award requires the grantee to complete projects or activities which are funded under the Prevention and Public Health Fund (PPHF) (Section 4002 of Public Law 111-148) and to report on use of PPHF funds provided through this award. Information from these reports will be made available to the public.

Grantees awarded a grant, cooperative agreement, or contract from such funds with a value of \$25,000 or more shall produce reports on a semi-annual basis with a reporting cycle of January 1 - June 30 and July 1 - December 31; and email such reports to the CDC website (template and point of contact to be provided after award) no later than 20 calendar days after the end of each reporting period (i.e. July 20 and January 20, respectively). Grantee reports must reference the NoA number and title of the grant, and include a summary of the activities undertaken and identify any sub-awards (including the purpose of the award and the identity of each sub-recipient).

**Responsibilities for Informing Sub-recipients:** Grantees agree to separately identify each sub-recipient, document the execution date sub-award, date(s) of the disbursement of funds, the Federal award number, any special CFDA number assigned for PPHF fund purposes, and the amount of PPHF funds. When a grantee awards PPHF funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental PPHF funds from regular sub-awards under the existing program.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by March 1, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, DP00xxxx, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for



Enhancement of Contractor Employee Whistleblower Protections,” of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “subgrant,” or “subgrantee”):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

#### **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management Services (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative

Agreement to your payment request form.

For additional information and/or to obtain your agency point of contact at the PMS, see, [http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/dpm\\_contact\\_list.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/dpm_contact_list.aspx?explorer.event=true)

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

This award contains funding from multiple components. The grant document number and a component's applicable subaccount title (listed below) must be known in order to draw down funds from this P Account.

Grant Document Number: **004817RF17**

<u>Component</u>	<u>Subaccount Title</u>	<u>Maximum Amount Available</u>
<b>Enhanced (Heart Disease)</b>	<b>DP13-1305HDIS1PPHF16</b>	<b>\$671,769</b>
<b>Enhanced (Diabetes)</b>	<b>DP13-1305DIABEPPHF16</b>	<b>\$550,773</b>

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## **CDC ROLES AND RESPONSIBILITIES**

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy

- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Rachel Blacher, Project Officer

Centers for Disease Control

NCCDPHP/DDT

4770 Buford Hwy.

Chamblee, GA 30341

Telephone: 770-488-4981

Fax:

Email: qvf9@CDC.gov

**GMS Contact:**

Kang Lee, GMS/GMO

Office of Grants Services (OGS)

Office of Financial Resources (OFR)

Office of the Chief Operating Officer (OCOO)

Centers for Disease Control and Prevention (CDC)

KLee@cdc.gov | 770-488-2853

**GMO Contact:**

Roslyn Curington, Grants Management Officer (GMO)/Team Lead

Office of Grants Services (OGS)

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Office of the Chief Operating Officer (OCOO)

Centers for Disease Control and Prevention (CDC)

RCurington@cdc.gov | 770-488-2832

## CDC-RFA-DP13-1305

# State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity and Associated Risk Factors and Promote School Health Technical Review: Year 3 APR/Year 4 Work Plan and Budget

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**State:** Utah

**Lead Project Officer:** Rachel Blacher

**Lead Evaluator:** Tiffany Burgess

**Date Reviewed:** March 16, 2016

**Award Number:** 1U58DP004835

**Funding Amount Requested:** \$2,120,792.45

**Recommended Funding:** Recommend at requested amount

More detailed feedback on budget request available in the [Basic Budget](#) and [Enhanced Budget](#) sections

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## Basic Component

### Annual Performance Report (APR), Basic Component

#### Comments on Year 3 APR, Basic Component

- Several Year 3 activities in the APR do not have status updates. The grantee should provide status updates for Year 3 activities in B.1, B.2, B.3, B.4, B.5 and B.6.
- The grantee should summarize activity progress to eliminate redundant statements and provide an indication of actual progress made over the course of the time frame for the APR instead of including each quarter's update.
- In reviewing the APR for activities started in Year 2, it is not possible to determine the status of some activities. While the status notes "on track for completion," some activities read like they have already been completed.
  - For example, an activity under Year 2, Basic 6 on conducting a Telehealth Webinar for BeWise instructors notes that it is "on track for completion," but the four quarterly updates make it read as though it has been completed. Is this activity complete or are there remaining portions of the activity yet to be completed?
  - Another activity under B6 from the Year 2 APR is for identifying a partner to pilot an intervention on detecting people with prediabetes. The last update seems to be from Q3 in Year 2. Please clarify if this activity is complete or still in process. The same issues exist in some of the enhanced Domain 4 APR. Please revise or clarify the status of these activities.
- The grantee provided a Year 3 Annual Performance Report (APR) for the Basic component that demonstrates progress toward achieving the performance measures for NPAO strategies.

- The grantee accomplished several noteworthy projects, goals, and strategies in Domain 2 NPAO, including:
  - Increasing TOP Star endorsements in early care and education (ECE) facilities and providing trainings to a larger number of ECE partners (Basic Strategy 1);
  - Creating a modified version of the CDC Worksite Health Score Card in answer to Provider Employer Health Plan (PEHP) employer-clients' input and working with <50 worksite to complete the modified assessment (Basic Strategy 3); and
  - Training TOP Star trainers and ECE directors on active play in the ECE setting based on Diane Craft's expertise (Basic Strategy 3).
- The grantee accomplished noteworthy progress in Domain 3, Heart Disease and Stroke Prevention including:
  - Coordinated the Division of Disease Control and Prevention's Informatics Team in the development of support related to data reporting and collection.
  - Built relationships with the Office of Health Statistics, where the State Innovation Model (SIM) data reporting is coordinated, to align SIM and 1305 health system clinical quality metrics.
  - Enrolled over 70 patients in a self-measured blood pressure protocol pilot being tracked in the electronic medical record. The pilot is being spread to 3 additional clinics.
- For PM B.5.01: Although CDC will allow BRFSS as an acceptable proxy for the entire 5-year period, grantees are expected to work towards the ideal measurement using health systems data, and to reflect those data in the sub-rows as they have the capacity to do so.

**Feedback/Recommendations on Year 3 APR Basic Component Performance Measures to be addressed by Awardee**

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- The grantee should provide Year 3 actuals for performance measure B.1.01 that are cumulative rather than annual.
- The grantee should provide Year 3 actual for performance measures B.2.03 and B.2.04. These measures can remain the same as Year 2 actuals until they need to be updated.

**Work Plan, Basic Component**

**Overarching Comments—Year 4 Basic Work Plan**

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- Overall the year 4 work plan continues to move in the right direction with respect to strong and innovative programming that meets the goals of the FOA.

**Strategy B.1: Promote the adoption of food service guidelines/nutrition standards, which include sodium**

- Recommendations on Activities:
  - The grantee indicates that it will coordinate with partners to provide training, technical assistance and resources to improve early care and education (ECE) nutrition policies (row 12). However, it is not clear in the activity if this will only be done through the Childcare Obesity Prevention Workgroup or with additional groups as well. The grantee is recommended to clearly outline which partners, besides the work group, it plans to engage with on providing professional development and technical assistance to ECE providers. If the work group is the only partner, then please state this too.
  - The remaining ECE activities are clear and build from Year 3 efforts (rows 13 & 14).
  - Due to limited progress on the school health piece of this strategy seen in the APR, with only three LEAs receiving professional development and technical assistance on strategies to create a healthy school nutrition environment, the grantee should provide additional substantive activities to identify strategies that will increase professional development and technical assistance statewide.
- Recommendations on Performance Measures
  - For performance measure B.1.01, the targets should be cumulative rather than annual.

**Strategy B.2: Promote the adoption of physical education/physical activity (PE/PA) in schools**

- Recommendations on Activities:
  - The grantee should provide additional information on the specific statewide professional development opportunities that will be provided. The current activities refer to these but do not provide specifics.
- Recommendations on Performance Measures
  - Year 4 targets should be provided for performance measures B.2.03 and B.2.04.

**Strategy B.3: Promote the adoption of physical activity (PA) in early care and education (ECE) and worksites**

- Recommendations on Activities:
  - The grantee is asked to clarify if the 70 PEHP employer-clients that have wellness councils are new partners in Year 4 or if these are the same employer-clients the grantee worked with in Year 3 on administering the CDC Worksite Health Score Card or EPICC mini scorecard (row 42). If new partners, does this mean that at least 70 new state and/or local agencies will complete the scorecard in Year 4? If so, is this target achievable within a one-year time period?
  - The grantee is asked to confirm if they will be working with both the local health departments and the worksites that work with the local health departments on completing the CDC Worksite Health Score Card or EPICC mini scorecard (row 43).
  - The grantee is asked to see the comments and questions under Basic Strategy 1 regarding physical activity in the ECE setting (rows 44-46).
- Recommendations on Performance Measures



- For performance measures B.3.01 & B. 3.02 – The baseline is higher than Year 4 targets in work plan. The grantee should clarify.
- For performance measures B.3.03 & B.3.04 – The grantee includes Years 4 and Year 5 targets on sub-row line with measures notes. Please place these measures on the parent row and add corresponding comments to those on the parent row.

**Strategy B.4: Promote reporting of blood pressure and A1C measures; and, as able, initiate activities that promote clinical innovations, team-based care, and self-monitoring of blood pressure**

- Recommendations on Activities:
  - The last activity under this strategy needs clarification on what technical assistance related to Million Hearts will be provided. To support this strategy, it should be on reporting of blood pressure control.
- Recommendations on Performance Measures
  - When setting the targets for the revised Year 4 work plan, the grantee should update the data source field and include a detailed explanation for the change in data source.
  - The performance measure notes indicate a new data source for this strategy. Please update the measure note with the name of the data source (1422 Health Assessment Survey).

**Strategy B.5: Promote awareness of high blood pressure among patients**

- Recommendations on Activities:
  - The grantee needs to specify that these activities will support finding undiagnosed hypertension.
  - The grantee needs to add an activity that reflects the work being done on the performance measure for this strategy as described in the “measure notes” field.
- Recommendations on Performance Measures
  - The “Measure Notes” include the following statement, but there is no activity that relates to this in the work plan for this strategy:
    - *“Y4 and Y5 targets were revised to reflect the directions in the Performance Measure Operationalized Profiles to only include individuals with a provider in the denominator. EPICC is working with Medicaid Office and APCD analysts to gather information on this measure in future years. This will complement BRFSS.”*

**Strategy B.6: Promote awareness of prediabetes among people at high risk for type 2 diabetes**

- Recommendations on Activities:
  - General comment: Does the newly developed diabetes prevention strategic plan (from the August 2015 PSTAT visit) have any activities under promoting awareness (B6) or increasing referrals and reimbursement to public employees or Medicaid beneficiaries (4.2)? What does implementation of the Diabetes Prevention Strategic plan look like with respect to Basic Strategy 6 and Enhanced Strategy 4.2?

- Activity 1: In order to reach as many people as possible through this strategy, activities under Strategy 6 should focus on the general population at risk for Type 2 diabetes or health care providers and not specific and small populations such as women with gestational diabetes.
- Activity 2: Please clarify language in this activity. How will collaboration between EPICC and other health programs expand the Diabetes Prevention Summit? How will these groups work to demonstrate how health plans can identify and target members who are at risk for diabetes and strengthen referrals? This seems like a large activity; perhaps it should be split into two? If the activity is also focusing on referrals, please consider placing it under Enhanced Strategy 4.2.
- Please include activities that leverage the materials developed by the Ad Council to promote awareness of prediabetes to the general population.
- Recommendations on Performance Measures
  - None noted.

**Strategy B.7: Promote participation in ADA-recognized, AADE-accredited, state-accredited/certified, and/or Stanford licensed diabetes self-management education (DSME) programs**

- Recommendations on Activities:
  - Activity 1: Please clarify how many trainings will be provided to diabetes educators.
  - Activity 2: Please add additional detail around the targeted marketing plan. Who is the target of the campaign? How will the plan be implemented?
  - Activity 3: Please articulate how awareness will be promoted, what resources are being promoted and to whom the promotion is occurring (health care professionals or people with Type 2 diabetes?)
- Recommendations on Performance Measures
  - The grantee should include both numerator and denominators in Year 4 targets. Additionally, increase the DSMP target.

## Basic Budget

### Recommendations

- In the “Basic Budget” tab, the grantee states that that it will sponsor the “Youth Bicycle Education and Safety Training Program” (row 123); however, this training program is not listed in the Year 4 work plan. Does this align with activities in Basic Strategies 2 or 3? If so, which activity (or activities) does it connect to?

## Enhanced Component

### APR, Enhanced Component

#### Comments on Year 3 APR, Enhanced Component

- The grantee should summarize progress to eliminate redundant statements and provide an indication of actual progress made over the course of the time frame for the APR instead of including each quarter's update. Due to space limits in the template, it is difficult to read the entire APR update (many Q4 updates are unable to be viewed because of the length of the APR updates).
- The grantee provided a Year 3 Annual Performance Report (APR) for the Enhanced component that demonstrates progress toward achieving the performance measures for NPAO strategies.
- The grantee accomplished several noteworthy projects, goals, and strategies in Domain 2 NPAO, including:
  - Increasing the number of farmers markets accepting SNAP, particularly in underserved areas, to use electronic benefits transfer (EBT) and initiating farmers markets in Associated Foods' parking lots (Strategy 2.1);
  - Identifying the number of local health departments with food procurement guidelines and agreements (Strategy 2.2);
  - Working closely with local health departments and jurisdictions on updating their master plans and providing technical assistance on active transportation strategies (Strategy 2.4); and,
  - Successfully piloting the Step Up for Utah Babies program in 2 hospitals (Strategy 2.7).

#### Feedback/Recommendations on Year 3 APR Enhanced Component Performance Measures to be addressed by Awardee

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- For performance measures 2.2.02 – The grantee does not include data for Year 3 actuals. The grantee should include these data or document in “measures notes” how data will be obtained and provide a timeline for data collection.
- The grantee should provide Year 3 actual data for 2.3.14 and 2.3.15 (The YRBS is the only appropriate data source).
- For performance measure 2.6.04, there are missing values and the measure notes do not include sufficient details. The grantee should provide an anticipated timeline for the tool development in the measure notes.
- For performance measure 2.6.05, the baseline should not be above 10, since this measure is tracking 10 components within Shape of the Nation. A Year 3 actual should be submitted and can be changed after new Shape of the Nation data are released. The data should match what is found in B.2.03. The grantee should provide a more detailed anticipated timeline for reporting on this measure.

- For performance measure 2.6.06, the data from YRBS should be included in the main performance measure row rather than the sub-row beneath the measure.
- For all performance measures under Strategies 3.1. and 3.2 and PM 4.3.08 under Strategy 4, the grantee should submit a revised APR with an **anticipated timeline** for setting an updated health systems denominator in “APR Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.
- For all Domains 3 and 4 Health System-related performance measures: The data in the parent row should reflect the statewide perspective for the both the numerator and denominator. If the numerator and/or denominator are unknown at the state level and there is no estimate available, then the parent row should be left blank to avoid the reporting of partial or misleading data. The grantee should include information on numerators or denominators (e.g., total number of health care systems in the state) in the Measure/APR notes field. Please use the sub-rows to report data that are specific to a particular data source and not state level. Please apply this update to all applicable performance measures. The grantee is also advised to review DHDSP Performance Measure profiles dated 02/2016 and work with their HDSP evaluator to properly define health systems and report data.
- For performance measure 4.1.06, the grantee fell slightly below target. The grantee should include barriers/challenges that may have contributed to this decrease.
- For performance measure 4.2.01, 4.3.02, 4.3.08, 4.4.01, and 4.4.03, the grantee should report both numerator and denominator values. The grantee should update the CDC Evaluator regarding the anticipated date in summer 2016 when data and targets will be available.
- For performance measure 4.3.10: The grantee should ensure that data being reported reflect activities during the appropriate Year 3 APR reporting period of **February 1, 2015 – January 31, 2016**.
- For performance measures 4.5.06 and 4.5.07, the grantee should provide more details in the “measure notes” section regarding the progress made on the measure.
- For performance measure 4.5.08: The grantee should provide more details in the “measure notes” section regarding barriers to data collection for this measure.

## Work Plan, Enhanced Component

### Overarching Comments—Year 4 Enhanced Work Plan

Revisions to performance measures based on feedback noted below should be submitted to the lead CDC Project Officer and Lead evaluator within 30 days of receipt of this technical review.

- Overall, the Year 4 work plan continues to move in the right direction with respect to strong and innovative programming that meets the goals of the FOA.

## Domain 2

### Strategy 2.1: Increase access to healthy foods and beverages

- Recommendations on Activities:

- The grantee is asked to provide the target number of underserved areas that lack farm-to-consumer outlets that it aims to identify and work with in Year 4 (row 27).
- The grantee has included several activities within one row (28) for electronic benefit transfer (EBT) at farmers markets. How many farmers markets does the grantee aim to implement EBT with local health departments? How will the development of the EBT infrastructure at 2 additional farmers markets with specific partners differ than the work with the local health departments? What does “B126” represent? How many farmers markets that accept SNAP will the grantee target in Year 4 to implement the Double-Up Bucks program?
- Recommendations on Performance Measures
  - For performance measures 2.1.06 & 2.1.07 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

**Strategy 2.2: Implement food service guidelines/nutrition standards where foods and beverages are available. Guidelines and standards should address sodium.**

- Recommendations on Activities:
  - The grantee is asked to clarify if the target of 13 for completing the CDC Worksite Health Scorecard or the EPICC mini scorecard includes the local health departments, government agencies, and local worksites, or if all 13 local health departments and at least 1 worksite will be targeted in Year 4 to complete the scorecard (row 43).
  - The grantee is asked to clarify if the 2 agencies it will target to develop food procurement policies of the PEHP/Healthy Utah’s 70 state and local government employee wellness councils are new agencies for Year 4 (row 44). If so, will the grantee follow up with the Year 3 wellness councils that developed food procurement policies on if and how these policies will be implemented and maintained in Year 4?
- Recommendations on Performance Measures
  - For performance measures 2.202 & 2.205 – The grantee includes Years 4 and 5 targets on sub-row line with measures notes. Please place these measures on the parent row and add corresponding comments to those on the parent row.
  - For performance measures 2.2.07 & 2.2.08 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

**Strategy 2.3: Create supportive nutrition environments in schools**

- Recommendations on Activities:
  - The grantee should provide more detailed activities that enhance progress made in previous years. Creating a report/summary template for WellSAT and providing farm-to-school resources are not comprehensive enough to cover the work on this strategy for Year 4. The grantee should provide specific support for the four target LEAs and consider reviewing performance measures to identify areas that need improvement.
  - The grantee should consider adding activities in this strategy related to providing professional development and technical assistance for School Health Guidelines and

School Health Index, as they have nutrition content areas and are mentioned in other proposed activities.

- Recommendations on Performance Measures
  - For performance measure 2.3.01, if all four target LEAs have received professional development and technical assistance, the Year 4 target should be 4. In the APR, a note indicated that all four target LEAs would have received technical assistance by spring 2016.
  - The grantee should provide Year 4 targets for performance measures 2.3.13, 2.3.14, 2.3.15, and 2.3.16.

#### **Strategy 2.4: Increase physical activity access and outreach**

- Recommendations on Activities:
  - The grantee is asked to include if it has a target number of master plans it aims to update in Year 4 with active transportation components in concert with its communities and municipalities (e.g., *between 5-10 master plans*) (row 94).
  - The grantee is asked to include if it has a target number of communities it aims to provide technical assistance to on implementing policy or environmental changes to support physical activity (e.g., *at least 5 communities*) (row 95).
  - The grantee outlined activities that build from Year 3 and align well with the purpose of this strategy.
  - Regarding the “Focus Areas” tab, “state governments” and “worksites” are included; however, the activities do not seem to align with these two settings. The grantee is asked to clarify how the activities align with these two settings or remove these settings from this tab (row 301).
- Recommendations on Performance Measures
  - For performance measure 2.4.04 & 2.4.05 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

#### **Strategy 2.5: Implement physical activity in early care and education**

- Recommendations on Activities:
  - The grantee is asked to provide how many additional web-based trainings it aims to make available in Year 4 on the Choose Health website for the 6 Child Care Resource and Referral Agencies (CCR&Rs) (e.g., *at least 3 trainings*) (row 112).
  - The grantee has provided adequate information on the other ECE activities.
- Recommendations on Performance Measures
  - No recommendations noted.

#### **Strategy 2.6: Implement quality physical education and physical activity in K-12 schools**

- Recommendations on Activities:
  - The grantee should clarify if all proposed activities are designed for the four target LEAs. Any activities designed for LEAs across the state, should be moved to B.2.

- The grantee should clarify how schools and LEAs will be encouraged to adopt Comprehensive School Physical Activity Programs (CSPAP) and specific technical assistance that will be provided to assist with this.
- Recommendations on Performance Measures
  - The grantee should include Year 4 targets for 2.6.04, 2.6.05 and 2.6.06 and a Year 5 target for 2.6.06.
  - For performance measure 2.6.06, YRBS should be the primary data source and should be reported in the first row.

**Strategy 2.7: Increase access to breastfeeding friendly environments**

- Recommendations on Activities:
  - The grantee’s activities for breastfeeding supportive practices in birthing facilities are well explained and build from Year 3 (rows 144-145).
  - The grantee is asked to provide information on how many childcare facilities it aims to work with through the 9 local health departments to develop breastfeeding policies for the ECE staff (e.g., at least 2 ECE facilities in every local health department jurisdiction) (row 176).
  - The other activities outlined in workplace compliance with federal lactation accommodation law include adequate information and illustrate a clear vision of the grantee’s goals in Year 4 (rows 174-175).
- Recommendations on Performance Measures
  - For performance measures 2.7.01 – Year 3 actuals and Year 4 targets are the same. The grantee should clarify.
  - For performance measures 2.7.02 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.
  - For performance measures 2.7.06 – 2.7.09 – CDC will populate data for these performance measures. The grantee should update targets once data are populated.

**Domain 3**

**Strategy 3.1: Increase implementation of quality improvement processes in health systems**

- Recommendations on Activities:
  - All enhanced activities timelines are for two quarters only. The grantee should revise the timelines in Domain 3 to reflect when work will be accomplished.
- Recommendations on Performance Measures
  - For all Domains 3 and 4 Health System-related performance measures: The data in the parent row should reflect the statewide perspective for the both the numerator and denominator. If the numerator and/or denominator are unknown at the state level and there is no estimate available, then the parent row should be left blank to avoid the reporting of partial or misleading data. The grantee should include information on numerators or denominators (e.g., total number of health care systems in the state) in the Measure/APR notes field. Please use the sub-rows to report data that are specific to a particular data source and not state level. Please apply this update to all applicable

performance measures. The grantee is also advised to review DHDSP Performance Measure profiles dated 02/2016 and work with their HDSP evaluator to properly define health systems and report data.

- For all performance measures under Strategy 3.1., the grantee should submit a revised work plan with an anticipated timeline for setting an updated health systems denominator in “Measure Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.

### **Strategy 3.2: Increase use of team-based care in health systems**

- Recommendations on Activities:
  - All enhanced activities timelines are for two quarters only. The grantee should revise the timelines to reflect when the work is being done.
  - The grantee should include what action it hopes to accomplish by distributing Million Hearts materials to LHDs that will have an impact on heart attacks and strokes. Distributing materials does not impact the performance measures or the Million Hearts outcomes.
  - The grantee should add an activity that corresponds to the second pharmacy contract (Scope of Work: work with health systems to test the process to contract with the pharmacy network).
  - The grantee should add an activity that corresponds to the expansion of the Million Hearts recognition program contract in the budget. If the recognition pertains to more than accurate blood pressure measurement, the grantee should consider changing the name of the program.
- Recommendations on Performance Measures
  - For all performance measures under Strategy 3.2., the grantee should submit a revised work plan with an anticipated timeline for setting an updated health systems denominator in “Measure Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.

## **Domain 4**

### **Strategy 4.1: Increase use of diabetes self-management programs in community settings**

- Recommendations on Activities:
  - Activities 4 and 5 are similar to what was done in Year 3. Please articulate how the continuation of this activity builds on what was done in Year 3 or consider new activities.
  - Activity 6: 1305 funds may not be used to pay for people to attend DSME programs. The grantee should reconsider this activity.
- Recommendations on Performance Measures
  - No recommendations.



#### **Strategy 4.2: Increase use of lifestyle intervention programs in community settings for the primary prevention of type 2 diabetes**

- Recommendations on Activities:
  - Overall comment: The activities in the work plan do not seem to focus on driving referrals to National DPP providers. The EPICC team is encouraged to consider activities that can increase and strengthen referrals and reimbursement for the National DPP. Similar to what was mentioned under B.6, how will the Utah Prediabetes Strategic Plan impact this strategy?
  - Activity 1: Please clarify what type of assistance will be provided to Utah Leaders for Health. Also, clarify if assistance is necessary; the current framing of the activity “as needed” could imply that this may not be a high priority activity. Additionally, under 1305, this activity should focus on public employees.
  - Activities 2 and 4: How will these activities meet the goals of the strategy? If the activity is to promote awareness of prediabetes, please move it to Basic Strategy 6.
  - Activity 4: This activity should be reconsidered. Women with gestational diabetes are not a focus of 1305.
  - In Year 3, the EPICC team conducted an activity around looking for opportunities for synergy with Domain 3 to incorporate screening/identification of people with prediabetes in their modules. How will the findings from the survey be used in Year 4? Will there be opportunities for synergy? If so, please consider including a follow-on activity from this one in the Year 4 work plan.
- Recommendations on Performance Measures
  - For performance measure 4.2.01, the grantee should report both numerator and denominator values in the targets. The grantee should update the CDC Evaluator regarding the anticipated date in summer 2016 when targets will be available.

#### **Strategy 4.3: Increase use of health care extenders in the community in support of self-management of high blood pressure and diabetes**

- Recommendations on Activities:
  - Intervention 1, Activity 1: Before developing new CHW training modules on self-management of diabetes, please investigate what CHW modules already exist. Please confer with the Project Officer if necessary.
  - Intervention 1, Activity 2: Please clarify if this is related to diabetes. If not, please move it to Intervention 2 (management of high blood pressure).
  - Intervention 1, Activity 3: Please articulate what type of opportunities will be presented to DSME providers. Will the grantee be making the “CHW case” for diabetes education?
  - Intervention 2: Recommend that the grantee include some indication that community linkages will be addressed in activities to increase CHW engagement for adults with high blood pressure.
  - Intervention 2: Recommend including some follow-up activity with participating pharmacists to track impact on participating pharmacists’ performance after education on resources to help with medication co-pays.

- Intervention 3: Please expand on how EPICC will be promoting CE opportunities.
- Recommendations on Performance Measures
  - For all health system-related performance measures under Strategy 4.3., the grantee should submit a revised work plan with an anticipated timeline for setting an updated health systems denominator in “Measure Notes” field. The CDC Evaluator will continue to check in with the grantee regarding the revised health systems denominator.

**Strategy 4.4: Increase use of chronic disease self-management programs in community settings**

- Recommendations on Activities:
  - Activity 1: Please expand on the type of technical assistance and support EPICC is providing in this activity.
- Recommendations on Performance Measures
  - The grantee should report numerators and denominators for performance measure targets in 4.4.

**Strategy 4.5: Implement policies, processes, and protocols in schools to meet the management and care needs of students with chronic conditions**

- Recommendations on Activities:
  - No recommendations noted.
- Recommendations on Performance Measures
  - For performance measure 4.5.08, the grantee should provide more detailed information/explanation in the measure notes for the 0 values reported.

**Enhanced Budget**

**Recommendations**

- In the “Contracts” tab, the contract with Five County AOG was calculated at the cost of 33 hours at \$30 as being \$1,000. It should be \$990. Please clarify or fix.
- In the “Domain 2 Budget” tab, the grantee states that 100% of the budget is allocated to nutrition, physical activity, and obesity (NPAO) activities for sponsoring the “Youth Bicycle Education and Safety Training Program” (row 124); however, this training program is not listed in the Year 4 work plan. Does this align with activities in Strategy 2.4? If so, which activity (or activities) does it connect to?
- The grantee should provide additional detail related to the itemized costs for supporting training for CSPAP and SHI in the school district contracts.
- For the contracts with target LEAs – the scope of work mentioned only references physical activity, not nutrition or managing chronic conditions. The grantee should consider whether these contracts should also provide for the other two content areas.
- Domain 3 contracts:
  - There is a second pharmacy contract \$11,200 for a pilot of the pharmacy network contracting process but there is no related activity.

- There is a contract in the budget for \$30,000 to expand the Million Hearts recognition program. However, there is no activity to expand the program in the work plan.
- There is a contract in the budget for \$21,000 for Team Based Care, yet there is no corresponding activity in the work plan.
- There is a contract in the budget for EHR performance improvement, but there is no corresponding activity in the work plan.
- In the “Domain 4 Budget” tab, the grantee should provide additional justification and description for the \$21,700 in the “Other” line item for the School Nurse Summer Institute. What will this money pay for specifically?

## Research Determination

DP13-1305 is only for non-research activities supported by CDC. (For the definition of research, please see the CDC Web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>)

- No research activities have been proposed.
- Research activities have been proposed, but were disapproved/disallowed.

1. DATE ISSUED MM/DD/YYYY 10/17/2016  
 2. CFDA NO. 93.074  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 SEC391(A)317(K)OPPHS42U.S.C.SEC241A 247B

1a. SUPERSEDES AWARD NOTICE dated 10/14/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 6 NU90TP000555-05-02  
 Formerly 5U90TP000555-04  
 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY  
 From 07/01/2012 Through 06/30/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 TP12-1201 HPP AND PHEP COOPERATIVE AGREEMENTS

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Utah Department of Health  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Dulce Diez  
 PO Box 142001  
 Utah Department of Health  
 Salt Lake City, UT 84114-2008  
 Phone: 801-273-4139

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Ruth Smith  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: (404) 639-2737

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	1,332,112.00
b. Fringe Benefits .....	652,197.00
c. Total Personnel Costs .....	1,984,309.00
d. Equipment .....	2,200.00
e. Supplies .....	112,753.00
f. Travel .....	68,028.00
g. Construction .....	0.00
h. Other .....	685,468.00
i. Contractual .....	5,839,619.00
j. TOTAL DIRECT COSTS →	8,692,377.00
k. INDIRECT COSTS	252,006.00
l. TOTAL APPROVED BUDGET	8,944,383.00
m. Federal Share	8,944,383.00
n. Non-Federal Share	894,438.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	8,944,383.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	8,564,268.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	380,115.00
13. Total Federal Funds Awarded to Date for Project Period	47,318,317.00

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 6		d. 9	
b. 7		e. 10	
c. 8		f. 11	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>C</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Shicann Phillips

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 7-93907NY	b. 000555Z217	c. 93.074	d. TP	e. \$380,115.00	f. 75-1617-0943
22. a.	b.	c.	d.	e.	f.
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 10/17/2016
GRANT NO. 6 NU90TP000555-05-02	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NU90TP000555-05-02

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1. Terms and Condition

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## AWARD INFORMATION

### REMARKS:

The Public Health Preparedness Program cooperative agreements are authorized by section 319C-1, and the Hospital Preparedness Program cooperative agreements are authorized by section 319C-2 of the Public Health Service (PHS) Act as amended.

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number TP12-1201, entitled **Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Cooperative Agreement Supplement**, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Approved Supplemental Funding (PHEP):** Supplemental funding in the amount of \$380,115 is approved for year 05, these funds must be obligated and expended by June 30, 2017 (end of year 5 budget period).

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Restricted Funds: One-Hundred percent (100%) of Supplemental funds awarded in the amount of \$380,115 is restricted and cannot be drawn down from the Payment Management System (PMS) until a complete application is submitted to your Grants Management Specialist.**

By November 17, 2016, the grantee must submit all required documents that include a complete application, budget justification and work plan. Failure to submit the required information in a timely manner may cause supplemental funds to be de-obligated from the Payment Management System (PMS). If the information cannot be provided by the due date, the recipient is required to contact the GMS/GMO identified in the Staff Contact section of this notice of award before the due date.

**EXPANDED AUTHORITY:** In accordance with 45 CFR Part 75.308 (d), the grantee is given expanded authority to carryover unobligated balances to the successive budget period without receiving prior approval from the Office of Grants Services. The following restrictions apply with this authority:

- The expanded authority can only be used to carryover unobligated balances from one budget period to the next successive budget period. Any unobligated funds not expended in the successive budget period must be de-obligated and returned to Treasury as required.
- No Cost Extensions will not be allowed
- The recipient must report the amount carried over on the Federal Financial Report for the period in which the funds remained unobligated.
- This authority does not diminish or relinquish CDC and ASPR administrative oversight of the HPP/PHEP program. The CDC and ASPR program offices will continue to provide oversight and guidance to the award recipients to ensure they are in compliance with statutes, regulations, and internal guidelines.
- The roles and responsibilities of the CDC and ASPR Program/Project Officers will remain the same as indicated in the Terms and Conditions of the Award.

- The roles and responsibilities of the CDC, Office of Grants Services, Grants Management Specialist, will remain the same as indicated in the Terms and Conditions of the Award.
- All other terms and conditions remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.
- Your organization is responsible for ensuring that all costs allocated and obligated are allowable, reasonable, and allocable and in line with the goals and objectives outlined in the base FOA TP12-1201 and approved work plans.

**NOTE:** All Budget Period 04 Unobligated funds must be expended by June 30, 2017 these funds are approved under Expanded Authority. Please be advised that recipients must exercise proper stewardship over Federal Funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, and reasonable.

## FUNDING RESTRICTIONS AND LIMITATIONS

**MATCHING:** Matching Funds Requirement: **\$38,011**

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

**Match/cost sharing should be contributed in proportion to your federal cash disbursements.**

*The match requirement does not apply to the political subdivisions of New York City, Los Angeles County, or Chicago. In line with 48 U.S.C. 1469a(d), any required matching (including in-kind contributions) of less than 200,000 is waived with respect to cooperative agreements to the governments of American Samoa, Guam, the Virgin Islands, Federated States of Micronesia, Republic of Marshall Islands or the Northern Mariana Islands (other than those consolidated under other provisions of 48 U.S.C 1469). For instance, if 10% (the match requirement) of the award is less than \$200,000, then the entire match requirement is waived. If 10% of the award is greater than 200,000, then the first 200,000 is waived, and the rest must be paid as match.*

**Matching Funds Requirement for PHEP** – 10%. Statutory formula for PHEP in Section 319C-1 of the Public Health Service (PHS) Act, as amended. For the year 05 budget period, matching funds are from non-Federal sources in an amount not less than 10% of such costs (\$1 for every \$10 of Federal funds provided in the award). Match can be provided directly by the state, in cash, or third party in-kind contributions. Match must be reported on the SF-425 (Federal Financial Report), if applicable.

**Maintenance of Effort (MOE)** - Requirement: MOE represents an applicant/grantee historical level of contributions related of Federal programmatic activities which have been made prior to the receipt of Federal Funds expenditures (money spent). MOE is used as an indicator of non-federal support for public health security before the infusion of Federal funds. These expenditures are calculated by the grantee without reference to any Federal funding that also may have contributed to such programmatic activities in the past. Awardees must stipulate the total dollar amount in their grant applications. Grantees must be able to account for MOE separately from accounting for Federal funds and separately from accounting for any matching funds requirement; this accounting is subject to ongoing monitoring, oversight, and audit. MOE may not include any Sub awardee matching funds requirements.

Note: This notice of award uses Maintenance of Effort (MOE) term that applies to both maintenance of funding



(MOF) and maintaining state funding (MSF). Section 319C-1 requires PHEP awardees to maintain expenditures for public health security. Section 319C-2 requires HPP awardees to maintain expenditures for healthcare preparedness. This provision addresses both requirements.

<b>PAYMENT INFORMATION</b>
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**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

This award contains funding from multiple components. The grant document number and a component's applicable subaccount title (listed below) must be known in order to draw down funds from this P Account.

Grant Document Number: **000555ZZ17**

<b>Component:</b> PHEP
<b>Subaccount Title:</b> TP121201COAG-ZIKA17

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

**All the other terms and conditions issued within the original award remains in effect throughout the budget period unless otherwise changed in writing by the Grants Management Officer.**

**Sara Greene**

**HPP Headquarters**

National Healthcare Preparedness Program  
Office of Emergency Management  
Hospital Preparedness Program Headquarters  
Telephone: 720-695-3602  
E-mail: [sara.greene@hhs.gov](mailto:sara.greene@hhs.gov)

**Administrative Contacts:**

**Grants Management Officer**, Shicann Phillips  
Centers for Disease Control and Prevention  
Office of Grants Services  
2960 Brandywine Road  
Atlanta, Georgia 30341  
Telephone: 770-488-2809  
E-mail address: [ibq7@cdc.gov](mailto:ibq7@cdc.gov)

**Grants Management Specialist**: Veronica Davis  
Center for Disease Control and Prevention  
Office of Grant Services  
2960 Brandywine Road MS.E-01  
Atlanta, Georgia 30341  
Telephone: 770-488-2743  
E-mail address: [vad4@cdc.gov](mailto:vad4@cdc.gov)

1. DATE ISSUED MM/DD/YYYY 09/08/2016 | 2. CFDA NO. 93.757 | 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road  
Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
301A,311BC,317K2(42USC241A,243BC247BK2)

1a. SUPERSEDES AWARD NOTICE dated 09/07/2016  
except that any additions or restrictions previously imposed remain  
in effect unless specifically rescinded

4. GRANT NO. 6 NU58DP004835-04-03  
Formerly 3U58DP004835-03 | 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY  
From 06/30/2013 Through 06/29/2018

7. BUDGET PERIOD MM/DD/YYYY  
From 06/30/2016 Through 06/29/2017

8. TITLE OF PROJECT (OR PROGRAM)  
UTAH - TO PREVENT & CONTROL AND PROMOTE SCHOOL HEALTH

9a. GRANTEE NAME AND ADDRESS  
Utah Department of Health  
288 N 1460 W  
Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
Ms. Nicole Bissonette  
288 North 1460 West  
Disease Control and Prevention  
SALT LAKE CITY, UT 84116-3231  
Phone: 801-538-6228

10a. GRANTEE AUTHORIZING OFFICIAL  
Ms. Shari Watkins

10b. FEDERAL PROJECT OFFICER  
Ms. Rachel Blacher  
4770 Buford Hwy. NE M/S F75  
Division of Diabetes Translation  
Chamblee, GA 30341  
Phone: 770-488-4981

**ALL AMOUNTS ARE SHOWN IN USD**

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <span style="float: right; border: 1px solid black; padding: 2px;">I</span>	
a. Salaries and Wages .....	-308,749.00
b. Fringe Benefits .....	-249,166.00
c. Total Personnel Costs .....	-557,915.00
d. Equipment .....	0.00
e. Supplies .....	-887.00
f. Travel .....	-31,886.00
g. Construction .....	0.00
h. Other .....	-1,331,250.00
i. Contractual .....	-128,000.00
j. TOTAL DIRECT COSTS →	-2,049,938.00
k. INDIRECT COSTS	-70,854.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>-2,120,792.00</b>
m. Federal Share	-2,120,792.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	-2,120,792.00
b. Less Unobligated Balance From Prior Budget Periods	-4,188,073.00
c. Less Cumulative Prior Award(s) This Budget Period	2,067,281.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>0.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>7,832,698.00</b>

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 5	1,222,542.00	d. 8	
b. 6		e. 9	
c. 7		f. 10	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:	
a. DEDUCTION	<b>b</b>
b. ADDITIONAL COSTS	
c. MATCHING	
d. OTHER RESEARCH (Add / Deduct Option)	
e. OTHER (See REMARKS)	

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:

- The grant program legislation
- The grant program regulations.
- This award notice including terms and conditions, if any, noted below under REMARKS.
- Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

Please see Attachment 1 to this Notice of Award (NoA) for corrections of the approved budget amounts stated on lines 11 through 13. The approved budget amounts shown in Attachment 1 supersede those stated on Page 1 of this NoA.

GRANTS MANAGEMENT OFFICIAL: **Kang Lee**

17. OBJ CLASS	41.51	18a. VENDOR CODE	1876000545C1	18b. EIN	876000545	19. DUNS	959347972	20. CONG. DIST.	90		
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION						
21. a.	6-93905AK	b.	004835RF14	c.	93.757	d.	DP	e.	\$0.00	f.	75-X-0948
22. a.	6-93905C7	b.	004835RF14	c.	93.757	d.	DP	e.	\$0.00	f.	75-X-0948
23. a.		b.		c.		d.		e.		f.	

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 09/08/2016
GRANT NO. 6 NU58DP004835-04-03	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NU58DP004835-04-03

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1. ATTACHMENT 1 -Approved Budget for year 4 PPHF Award
2. Revised Terms and Conditions for year 4 PPHF Award

**ATTACHMENT 1 - Approved Budget for year 4 PPHF Award -UT -DP4835-04**

ALL AMOUNTS ARE SHOWN IN USD			
11. APPROVED BUDGET		12. AWARD COMPUTATION	
I. Financial Assistance from the Federal Awarding Agency only.		a. Amount of Federal Financial Assistance (from item 11m)	\$ 1,222,542.00
II. Total project costs including grants funds and all other financial participation.		b. Less Unobligated Balance from Prior budget periods	-
a. Salaries and Wages	\$ 315,563.00	c. Less Cumulative prior award(s) This budget period	1,222,542.00
b. Fringe Benefits	175,423.00	d. AMOUNT OF FINANCIAL ASISTANCE THIS ACTION	\$ -
c. Total Personnel costs	\$ 490,986.00	<b>13. Total Federal Funds Awarded to Date for Project period</b>	<b>\$ 3,275,912.00</b>
d. Equipment	-		
e. Supplies	1,116.00		
f. Travel	29,632.00		
g. Construction	-		
h. Other	96,026.00		
i. Contractual	542,428.00		
j. TOTAL DIRECT COSTS	\$ 1,160,188.00		
K. INDIRECT COSTS ----- >	62,354		
L. TOTAL APPROVED BUDGET	\$ 1,222,542.00		
M. Federal Share	\$ 1,222,542.00		
n. Non-Federal Share			

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: DP13-1305  
GRANT #NU58DP004835-04 (PPHF Award)**

**Revision: 3**

**ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD**

**REVISED BUDGET:** The purpose of this revised Notice of Award (NOA) is to respond to your letter, dated July 26, 2016. Your request has been approved as follows:

**TECHNICAL REVIEW:** The additional purpose of this revised NOA is to respond to your responses to the Technical Review. This request has been reviewed and approved.

**INDIRECT COSTS:** Indirect costs are approved based on the Indirect Cost Rate Agreement, dated August 12, 2015, which calculates indirect costs as follows, a provisional **rate** is approved at a rate of 12.70% of the base, which includes, direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

Please be advised that the grantee must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

All other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

**PLEASE REFERENCE YOUR AWARD NUMBER ON ALL CORRESPONDENCE.**

Kang Lee  
Grants Management Officer (GMO)/Specialist (GMS)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
KLee@cdc.gov | 770-488-2853

1. DATE ISSUED MM/DD/YYYY 09/09/2016  
 2. CFDA NO. 93.945  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

1a. SUPERSEDES AWARD NOTICE dated 09/08/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 6 NU58DP004835-04-04  
 Formerly 3U58DP004835-03  
 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY  
 From 06/30/2013 Through 06/29/2018

7. BUDGET PERIOD MM/DD/YYYY  
 From 06/30/2016 Through 06/29/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH - TO PREVENT & CONTROL AND PROMOTE SCHOOL HEALTH

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Nicole Bissonette  
 288 North 1460 West  
 Disease Control and Prevention  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6228

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari Watkins697234  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Ms. Rachel Blacher  
 4770 Buford Hwy. NE M/S F75  
 Division of Diabetes Translation  
 Chamblee, GA 30341  
 Phone: 770-488-4981

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	-308,749.00
b. Fringe Benefits .....	-249,166.00
c. Total Personnel Costs .....	-557,915.00
d. Equipment .....	0.00
e. Supplies .....	-887.00
f. Travel .....	-31,886.00
g. Construction .....	0.00
h. Other .....	-1,331,250.00
i. Contractual .....	-128,000.00
j. TOTAL DIRECT COSTS →	-2,049,938.00
k. INDIRECT COSTS	-70,854.00
l. TOTAL APPROVED BUDGET	-2,120,792.00
m. Federal Share	2,120,792.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	2,120,792.00
b. Less Unobligated Balance From Prior Budget Periods	53,511.00
c. Less Cumulative Prior Award(s) This Budget Period	2,067,281.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	0.00
13. Total Federal Funds Awarded to Date for Project Period	7,832,698.00

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 5	1,222,542.00	d. 8	
b. 6		e. 9	
c. 7		f. 10	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

Please see Attachment 1 to this Notice of Award (NoA) for corrections of the approved budget amounts stated on lines 11 through 13. The approved budget amounts shown in Attachment 1 supersede those stated on Page 1 of this NoA.

GRANTS MANAGEMENT OFFICIAL: Kang Lee

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 90	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93905AK	b. 004835DP14	c. 93.945	d. DP	e. \$0.00	f. 75-X-0948
22. a. 6-93905C7	b. 004835DP14	c. 93.945	d. DP	e. \$0.00	f. 75-X-0948
23. a.	b.	c.	d.	e.	f.



NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 09/09/2016
GRANT NO. 6 NU58DP004835-04-04	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

6 NU58DP004835-04-04

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1. ATTACHMENT 1 -Approved Budget for year 4 Non-PPHF
2. Revised Terms and Conditions for Year 4 Non-PPHF Award

**ATTACHMENT 1 APPROVED BUDGET FOR UT YEAR 4 Non-PPHF Award**

ALL AMOUNTS ARE SHOWN IN USD			
11. APPROVED BUDGET		12. AWARD COMPUTATION	
I. Financial Assistance from the Federal Awarding Agency only.		a. Amount of Federal Financial Assistance (from item 11m)	\$ 898,250.00
II. Total project costs including grants funds and all other financial participation.		b. Less Unobligated Balance from Prior budget periods	53,511.00
a. Salaries and Wages	\$ 356,695.00	c. Less Cumulative prior award(s) This budget period	844,739.00
b. Fringe Benefits	215,633.00	d. AMOUNT OF FINANCIAL ASISTANCE THIS ACTION	\$ -
c. Total Personnel costs	\$ 572,328.00	<b>13. Total Federal Funds Awarded to Date for Project period</b>	<b>\$ 4,556,786.00</b>
d. Equipment	-		
e. Supplies	1,005.00		
f. Travel	19,885.00		
g. Construction	-		
h. Other	104,347.00		
i. Contractual	128,000.00		
j. TOTAL DIRECT COSTS	\$ 825,565.00		
K. INDIRECT COSTS ----- >	72,685.00		
L. TOTAL APPROVED BUDGET	\$ 898,250.00		
M. Federal Share	\$ 898,250.00		
n. Non-Federal Share			

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: DP13-1305  
GRANT #NU58DP004835-04 (Non-PPHF Award)**

**Revision: 4**

**ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD**

**ADMINISTRATIVE CORRECTION:** The purpose of this revised Notice of Award (NOA) is to correct an error in ATTACHMENT 1, line 12.c. and 12.d. – “Approved Budget for year 4 Non-PPHF Award” in the Notice of Award, dated September 7, 2016. The ATTACHMENT 1, line 12.d. should not have any “amount of financial assistance this action”.

All other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

**PLEASE REFERENCE YOUR AWARD NUMBER ON ALL CORRESPONDENCE.**

Kang Lee  
Grants Management Officer (GMO)/Grants Management Specialist (GMS)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
KLee@cdc.gov | 770-488-2853

H181A150111  
SUSAN ORD  
UTAH DEPARTMENT OF HEALTH  
Baby Watch Early Intervention  
State Department of Health  
P.O. Box 144720  
Salt Lake, UT 84114 - 4720

H181A150111

W. David Patton  
UTAH DEPARTMENT OF HEALTH  
P. O. BOX 141000  
SALT LAKE CITY, UT 84114



**US Department of Education  
Washington, D.C. 20202**

H181A150111

**GRANT AWARD NOTIFICATION**

<b>1</b>	<b>RECIPIENT NAME</b>  UTAH DEPARTMENT OF HEALTH P. O. BOX 141000 SALT LAKE CITY, UT 84114	<b>2</b>	<b>AWARD INFORMATION</b>  PR/AWARD NUMBER      H181A150111 ACTION NUMBER        1 ACTION TYPE            New AWARD TYPE            Formula																				
<b>3</b>	<b>PROJECT STAFF</b>  RECIPIENT STATE DIRECTOR SUSAN ORD                    (801) 584-8441 <a href="mailto:sord@utah.gov">sord@utah.gov</a> EDUCATION PROGRAM CONTACT Gregory Corr                    (202) 245-7309 <a href="mailto:gregg.corr@ed.gov">gregg.corr@ed.gov</a> EDUCATION PAYMENT HOTLINE G5 PAYEE                        888-336-8930 HELPDESK <a href="mailto:edcaps.user@ed.gov">edcaps.user@ed.gov</a>	<b>4</b>	<b>PROJECT DESCRIPTION</b>  84.181A Infants and Toddlers with Disabilities																				
<b>5</b>	<b>KEY PERSONNEL</b>  N/A																						
<b>6</b>	<b>AWARD PERIODS</b>  BUDGET PERIOD            07/01/2015 - 09/30/2016 FEDERAL FUNDING PERIOD    07/01/2015 - 09/30/2016  FUTURE BUDGET PERIODS  N/A																						
<b>7</b>	<b>AUTHORIZED FUNDING</b>  CURRENT AWARD AMOUNT      \$5,233,501.00 PREVIOUS CUMULATIVE AMOUNT    \$0.00 CUMULATIVE AMOUNT            \$5,233,501.00																						
<b>8</b>	<b>ADMINISTRATIVE INFORMATION</b>  DUNS/SSN            959347972 REGULATIONS        CFR PART 303 EDGAR AS APPLICABLE 2 CFR AS APPLICABLE ATTACHMENTS        1 , 11 , 12 , 13 , 14 , 3 , 8 , 9 , E-3 , F (RSA)																						
<b>9</b>	<b>LEGISLATIVE AND FISCAL DATA</b>  AUTHORITY:                    PL 105-17 PT-C INDIVIDUALS WITH DISABILITIES ACT PROGRAM TITLE:                SPECIAL EUDCATION - GRANTS FOR INFANTS AND FAMILIES WITH DISABILITIES  CFDA/SUBPROGRAM NO:        84.181A  <table border="1" data-bbox="99 1881 1549 1992"> <thead> <tr> <th>FUND CODE</th> <th>FUNDING YEAR</th> <th>AWARD YEAR</th> <th>ORG. CODE</th> <th>CATEGORY</th> <th>LIMITATION</th> <th>ACTIVITY</th> <th>CFDA</th> <th>OBJECT CLASS</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>0300M</td> <td>2015</td> <td>2015</td> <td>EH000000</td> <td>B</td> <td>K94</td> <td>000</td> <td>181</td> <td>4101A</td> <td>\$5,233,501.00</td> </tr> </tbody> </table>			FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT	0300M	2015	2015	EH000000	B	K94	000	181	4101A	\$5,233,501.00
FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT														
0300M	2015	2015	EH000000	B	K94	000	181	4101A	\$5,233,501.00														



**US Department of Education  
Washington, D.C. 20202**

H181A150111

**GRANT AWARD NOTIFICATION**

**10**

PR/AWARD NUMBER: H181A150111  
RECIPIENT NAME: UTAH DEPARTMENT OF HEALTH

**TERMS AND CONDITIONS**

- (1) The Office of Management and Budget requires all Federal agencies to assign a Federal Award Identifying Number (FAIN) to each of their financial assistance awards. The PR/AWARD NUMBER identified in Block 2 is your FAIN.

If you subaward under this grant, you must document the assigned PR/AWARD NUMBER (FAIN) identified in Block 2 of this Grant Award Notification on each subaward made under this grant. The term subaward means:

- 1. A legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- 2. The term does not include your procurement of property and services needed to carry out the project or program (The payments received for goods or services provided as a contractor are not Federal awards, see 2 CFR 200.501(f) of the OMB Uniform Guidance: "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards").
- 3. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- (2) The negotiated indirect cost rate or the indirect cost allocation plan approved for the entity identified in Block 1 of this GAN applies to this grant award.
- (3) WHEN ISSUING STATEMENTS, PRESS RELEASES, REQUESTS FOR PROPOSALS, BID SOLICITATIONS, AND OTHER DOCUMENTS DESCRIBING THIS PROJECT OR PROGRAMS FUNDED IN WHOLE OR IN PART WITH FEDERAL MONEY, ALL GRANTEES RECEIVING FEDERAL FUNDS, INCLUDING BUT NOT LIMITED TO STATE AND LOCAL GOVERNMENTS, SHALL STATE CLEARLY:
  - 1) THE DOLLAR AMOUNT OF FEDERAL FUNDS FOR THE PROJECT,
  - 2) THE PERCENTAGE OF THE TOTAL COST OF THE PROJECT THAT WILL BE FINANCED WITH FEDERAL FUNDS, AND
  - 3) THE PERCENTAGE AND DOLLAR AMOUNT OF THE TOTAL COST OF THE PROJECT THAT WILL BE FINANCED BY NON-GOVERNMENTAL SOURCES.

AS OF 07/01/97, FEDERAL FISCAL YEAR (FFY) WILL REFER TO THE YEAR THE FUNDS WERE APPROPRIATED.

- (4) UNDER THE "TYDINGS AMENDMENT," SECTION 421(b) OF THE GENERAL EDUCATION PROVISIONS ACT, 20 U.S.C. 1225(b), ANY FUNDS THAT ARE NOT OBLIGATED AT THE END OF THE FEDERAL FUNDING PERIOD SPECIFIED IN BLOCK 6 SHALL REMAIN AVAILABLE FOR OBLIGATION FOR AN ADDITIONAL PERIOD OF 12 MONTHS.

\_\_\_\_\_  
**AUTHORIZING OFFICIAL**

\_\_\_\_\_  
**DATE**



# EXPLANATION OF BLOCKS ON THE GRANT AWARD NOTIFICATION

For Discretionary, Formula and Block Grants (See Block 2 of the Notification)

**1. RECIPIENT NAME** - The legal name of the recipient, name of the primary organizational unit that

**2. AWARD INFORMATION** - Unique items of information that identify this notification.

**PR/AWARD NUMBER** - A unique, identifying number assigned by the Department to each application. On funded applications, this is commonly known as the "grant number" or "document number."

**ACTION NUMBER** - A numeral that represents the cumulative number of steps taken by the Department to date to establish or modify the award through fiscal or administrative means. Action number "01" will always be "NEW AWARD"

**ACTION TYPE** - The nature of this notification (e.g., NEW AWARD, CONTINUATION, REVISION, ADMINISTRATIVE)

**AWARD TYPE** - The particular assistance category in which funding for this award is provided, i.e., DISCRETIONARY, FORMULA, or BLOCK.

**3. PROJECT STAFF** - This block contains the names and telephone numbers of the U.S. Department of Education and recipient staff who are responsible for project direction and oversight.

**\*RECIPIENT PROJECT DIRECTOR** - The recipient staff person responsible for administering the project. This person represents the recipient to the U.S. Department of Education.

**EDUCATION PROGRAM CONTACT** - The U.S. Department of Education staff person responsible for the programmatic, administrative and business management concerns of the Department.

**EDUCATION PAYMENT CONTACT** - The U.S. Department of Education staff person responsible for payments or questions concerning electronic drawdown and financial expenditure reporting.

**4. PROJECT TITLE AND CFDA NUMBER** - Identifies the Catalog of Federal Domestic Assistance (CFDA) subprogram title and the associated subprogram number.

**5.\* KEY PERSONNEL** - Name, title and percentage (%) of effort the key personnel identified devotes to the project.

**6. AWARD PERIODS** - Project activities and funding are approved with respect to three different time periods, described below:

**BUDGET PERIOD** - A specific interval of time for which Federal funds are being provided from a particular fiscal year to fund a recipient's approved activities and budget. The start and end dates of the budget period are shown.

**PERFORMANCE PERIOD** - The complete length of time the recipient is proposed to be funded to complete approved activities. A performance period may contain one or more budget periods.

**\*FUTURE BUDGET PERIODS** - The estimated remaining budget periods for multi-year projects and estimated funds the Department proposes it will award the recipient provided substantial progress is made by the recipient in completing approved activities, the Department determines that continuing the project would be in the best interest of the Government, Congress appropriates sufficient funds under the program, and the recipient has submitted a performance report that provides the most current performance information and the status of budget expenditures.

**7. AUTHORIZED FUNDING** - The dollar figures in this block refer to the Federal funds provided to a recipient during the award periods.

**\*THIS ACTION** - The amount of funds obligated (added) or de-obligated (subtracted) by this notification.

**\*BUDGET PERIOD** - The total amount of funds available for use by the grantee during the stated budget period to this date.

**\*PERFORMANCE PERIOD** - The amount of funds obligated from the start date of the first budget period to this date.

**RECIPIENT COST SHARE** - The funds, expressed as a percentage, that the recipient is required to contribute to the project, as defined by the program legislation or regulations and/or terms and conditions of the award.

**RECIPIENT NON-FEDERAL AMOUNT** - The amount of non-federal funds the recipient must contribute to the project as identified in the recipient's application. When non-federal funds are identified by the recipient where a cost share is not a legislation requirement, the recipient will be required to provide the non-federal funds.

**8. ADMINISTRATIVE INFORMATION** - This information is provided to assist the recipient in completing the approved activities and managing the project in accordance with U.S. Department of Education procedures and regulations.

**DUNS/SSN** - A unique, identifying number assigned to each recipient for payment purposes. The number is based on either the recipient's assigned number from Dun and Bradstreet or the individual's social security number.

**\*REGULATIONS** - \*REGULATIONS - The parts of the Education Department General Administrative Regulations (EDGAR), specific program regulations (if any), and other titles of the Code of Federal Regulations that govern the award and administration of this grant.

**\*ATTACHMENTS** - Additional sections of the Grant Award Notification that discuss payment and reporting requirements, explain Department procedures, and add special terms and conditions in addition to those established, and shown as clauses, in Block 10 of the award. Any attachments provided with a notification continue in effect through the project period until modified or rescinded by the Authorizing Official.

**9. LEGISLATIVE AND FISCAL DATA** - The name of the authorizing legislation for this grant, the CFDA title of the program through which funding is provided, and U.S. Department of Education fiscal information.

**FUND CODE, FUNDING YEAR, AWARD YEAR, ORG.CODE, PROJECT CODE, OBJECT CLASS** -

The fiscal information recorded by the U.S. Department of Education's Grant Administration and Payment System to track obligations by award.

**AMOUNT** - The amount of funds provided from a particular appropriation and project code. Some notifications authorize more than one amount from separate appropriations and/or project codes. The total of all amounts in this block equals the amount shown on the line, "THIS ACTION" (See "AUTHORIZED FUNDING" above (Block 7)).

**10. TERMS AND CONDITIONS** - Requirements of the award that are binding on the recipient.

**\*AUTHORIZING OFFICIAL** - The U.S. Department of Education official authorized to award Federal funds to the recipient, establish or change the terms and conditions of the award, and authorize modifications to the award

**FOR FORMULA AND BLOCK GRANTS ONLY:**

(See also Blocks 1, 2, 4, 6, 8, 9 and 10 above)

**3. PROJECT STAFF** - The U.S. Department of Education staff persons to be contacted for programmatic and payment questions.

**7. AUTHORIZED FUNDING**

**CURRENT AWARD AMOUNT** - The amount of funds that are obligated (added) or de-obligated (subtracted) by this action.

**PREVIOUS CUMULATIVE AMOUNT** - The total amount of funds awarded under the grant before this action.

**CUMULATIVE AMOUNT** - The total amount of funds awarded under the grant, this action included.

\* This item differs or does not appear on formula and block grants.

UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF THE CHIEF FINANCIAL OFFICER  
& CHIEF INFORMATION OFFICER

UTAH DEPARTMENT OF HEALTH  
P. O. BOX 141000

SALT LAKE CITY, UT 84114

SUBJECT: Payee Verification for Grant Award H181A150111

This is to inform you of the payee for the above listed grant award issued by the United States Department of Education

Grantee DUNS/SSN: 959347972  
Grantee Name: DEPARTMENT OF HEALTH UTAH

Payee DUNS/SSN: 959347972  
Payee Name: DEPARTMENT OF HEALTH UTAH

If any of the above information is not correct, please contact a Payee Customer Support Representative at 1-888-336-8930. Please send all the correspondence relating to the payee or bank information changes to the following address:

U.S. Department of Education  
550 12th Street, SW  
Room 6087  
Washington, DC 20202

Attn: Stephanie Barnes  
Phone: 202-245-8006

**SPECIFIC GRANT CONDITIONS FOR PAYMENTS**

**THE G5 PAYMENTS MODULE**

Payments under this award will be made through the G5-Payments module of the U.S. Department of Education's (Department) electronic payments system. The G5 Payments module within the Education Central Automated Processing Systems (EDCAPS) is administered by the Office of the Chief Information Officer, Financial Systems Services.

The internet address for G5 is <https://www.g5.gov>. To access the G5 Payments module, you must first have a G5 User Id and Password. You will need to request a G5 User Id and Password from the Department of Education by submitting an **External Access Security Form**. This form is electronically available during online registration under "*Not Registered? Sign Up*", when you access the website. The Department will issue G5 User IDs and Passwords to those individuals authorized by the payee to access G5 to request funds and report expenditures. User IDs and Passwords cannot be faxed or given over the phone, and may not be shared by multiple users. The External User Access Request Form must be completed and mailed to the following address:

U.S. Department of Education  
Office of the Chief Information Officer  
Mail Stop – 4138  
Attn: G5 Functional Application Team  
400 Maryland Avenue, SW  
Washington, DC 20202

New grantees will be requested to provide pertinent information before they may begin requesting funds. Information to be provided includes:

- Designation of payee;
- Payee contacts and mailing addresses;
- Depositor account information; and
- Individuals authorized by the payee to access G5 to request funds - these individuals will be provided User IDs and passwords to access G5.

The payee is the entity identified by the grantee to handle the financial aspects of the grant (e.g., request payments, report expenditures, etc.). While a grantee may designate an entity to be its payee, alternatively, a grantee and payee may be the same entity.

Payees may begin requesting funds for the grantee once their award authorization is entered into G5 and the award start date is reached.

A copy of the Department of Education G5 Training Guide (*Guide*) is available on the G5 website at the "Help" link. The guide provides detailed instructions on all electronic payment processes. If you are not Internet capable, please contact the G5 Hotline at toll free 1 (888) 336-8930 to request a hard copy of the Guide.

REQUESTING FUNDS USING THE G5 MODULE

Payees can access the G5-Payments Module on-line to request funds. To access the G5 Payments Module, payees need a Web browser (such as Microsoft Internet Explorer) and Internet connectivity. Payees will request funds by award using **the PR/Award Number** found in **Block 5** of the **Grant Award Notification**. Instructions for navigating through the G5-Payments screens to make a payment request are given in the G5 Training Guide and in the G5 On Demand training located under the "Help" link. Instructions for modifying payment requests, adjusting drawdown amounts, and viewing award and authorization histories are also included in the Guide.

Those payees who do not have the technology to access G5-Payments on-line may request funds by calling ED's G5 Hotline by at 1-888-336-8930.

AWARD INFORMATION

Payees can get information on this award on-line, or by calling ED's G5 Hotline Staff at 1-888-336-8930.

➤ On-Line:

Payees may access G5 via the Internet at <https://www.G5.gov> to retrieve and view information on their awards, such as:

- Net authorization and authorization history;
- Net draws;
- Available balance;
- History of pending and completed payments;
- Award status; and
- Award history - including detailed transactions on drawdowns, returns, refunds, and adjustments.

➤ ED's G5 Hotline Staff:

Payees can contact a G5 Hotline Staff for information on any award. Because award information is organized in G5 by a unique identifier - the Dun & Bradstreet Number (DUNS Number) - payees should have their DUNS number, identified in **Block 8** of the **Grant Award Notification**, available when contacting a G5 Hotline Staff Representative.

FINANCIAL REPORTS:

When a Payee requests a drawdown of funds by grant award, the Department records this drawdown as an expenditure against the specified grant award. This method of identifying expenditures, at the time of drawdown, and the capability to make adjustments on-line, eliminates the need for the submission of the Federal Cash Transactions Report Form 272. Thus, additional financial reporting generally will not be required, unless otherwise specified by ED.

**SPECIFIC CONDITIONS FOR DISCLOSING  
FEDERAL FUNDING IN PUBLIC ANNOUNCEMENTS**

When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, U.S. Department of Education grantees shall clearly state :

- 1) the percentage of the total costs of the program or project which will be financed with Federal money;
- 2) the dollar amount of Federal funds for the project or program; and
- 3) the percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Recipients must comply with these conditions under Division H, Title V, Section 505 of Public Law 113-76, Consolidated Appropriations Act, 2014.

12/2014

**PROHIBITION OF TEXT MESSAGING AND EMAILING WHILE  
DRIVING DURING OFFICIAL FEDERAL GRANT BUSINESS**

Federal grant recipients, sub recipients and their grant personnel are prohibited from text messaging while driving a government owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email when driving.

Recipients must comply with these conditions under Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," October 1, 2009.

12/2014

**Registration of Data Universal Numbering System (DUNS) Number and Taxpayer Identification Number (TIN) in the System for Award Management (SAM)**

The U.S. Department of Education (Education) Grants Management System (G5) will begin disbursing payments via the U.S. Department of Treasury (Treasury) rather than directly through the Federal Reserve as in the past. The U.S. Treasury requires that we include your Tax Payer Identification Number (TIN) with each payment. Therefore, in order to do business with Education you must have a registered DUNS and TIN number with the SAM, the U.S. Federal Government's primary registrant database. If the payee DUNS number is different than your grantee DUNS number, both numbers must be registered in the SAM. Failure to do so will delay the receipt of payments from Education.

A TIN is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number (SSN) is issued by the SSA whereas all other TINs are issued by the IRS.

The following are all considered TINs according to the IRS.

- Social Security Number "[SSN](#)"
- Employer Identification Number "[EIN](#)"
- Individual Taxpayer Identification Number "[ITIN](#)"
- Taxpayer Identification Number for Pending U.S. Adoptions "[ATIN](#)"
- Preparer Taxpayer Identification Number "[PTIN](#)"

If your DUNS number is not currently registered with the SAM, you can easily register by going to [www.sam.gov](http://www.sam.gov). Please allow 3-5 business days to complete the registration process. If you need a new TIN, please allow 2-5 weeks for your TIN to become active. If you need assistance during the registration process, you may contact the SAM Federal Service Desk at 866-606-8220.

If you are currently registered with SAM, you may not have to make any changes. However, please take the time to validate that the TIN associated with your DUNS is correct.

If you have any questions or concerns, please contact the G5 Hotline at 888-336-8930.

12/2014

**System for Award Management and Universal Identifier Requirements**

**1. Requirement for System for Award Management (SAM)**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

**2. Requirement for Data Universal Numbering System (DUNS) Numbers**

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

**3. Definitions**

For purposes of this award term:

1. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (see 2 CFR 200.501 of the OMB “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”).
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. Subrecipient means an entity that:
  - a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

12/2014



**An Overview of Single Audit Requirements of States,  
Local Governments, and Non-Profit Organizations**

To meet audit requirements of U.S. Office of Management and Budget (OMB) Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards (Uniform Guidance), grantees must submit all documents required by Uniform Guidance 2 CFR 200.512, including Form SF-SAC: Data Collection Form, to:

Federal Audit Clearinghouse  
1201 East 10th Street  
Jeffersonville, Indiana 47132  
(301) 763-1551 (voice)  
(800) 253-0696 (toll free)  
(301) 457-1540 (fax)

Below is a summary of the single audit requirements:

- (1) **Single Audit.** A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with 2 CFR 200.514, "Scope of Audit," except when it elects to have a program specific audit conducted.
- (2) **Program-specific audit election.** When an auditee expends Federal awards under only one Federal program (excluding R&D), and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.
- (3) **Exemption when Federal awards expended are less than \$750,000.** A non-Federal entity that expends less than \$750,000 during the non-Federal entity's fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in 2 CFR 200.503, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

(4) Federally Funded Research and Development Centers (FFRDC). Management of an auditee that owns or operates a FFRDC may elect to treat the FFRDC as a separate entity.

(5) Report Submission. The audit must be completed, and the data collection form and reporting package must be submitted within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period. If the due date falls on a Saturday, Sunday, or Federal holiday, the reporting package is due the next business day. Unless restricted by Federal statutes or regulations, the auditee must make copies available for public inspection. Auditees and auditors must ensure that their respective parts of the reporting package do not include protected personally identifiable information. (2 CFR 200.512)

Grantees are strongly urged to obtain the "OMB Compliance Supplement" and to contact their cognizant agency for single audit technical assistance.

The designated cognizant agency for single audit purposes is "the Federal awarding agency that provides the predominant amount of direct funding to the recipient." Grantees should obtain a copy of the OMB Compliance supplement. This supplement will be instructive to both grantees and their auditors. Appendix III of the supplement provides a list of Federal Agency Contacts for Single Audits, including addresses, phone numbers, fax numbers, and e-mail addresses for technical assistance.

If the U.S. Department of Education is the cognizant agency, grantees should contact the Non-Federal Audit Team in the Department's Office of Inspector General, at the address, phone, or fax number provided on page 3 of this attachment.

Grantees can obtain information on single audits from:

The OMB Publications Service, (202) 395-7332. (To obtain OMB Compliance Supplement, and Form SF-SAC: Data Collection Form)

The OMB web site. The Internet address is [www.omb.gov](http://www.omb.gov). Look under OMB "Information for Agencies", then in OMB Circulars. (To obtain OMB Compliance Supplement, and Form SF-SAC: Data Collection Form)

The Federal Audit Clearinghouse, 1-888-222-9907. (to obtain Form SF-SAC: Data Collection Form), or

The American Institute of Certified Public Accountants (AICPA). AICPA has illustrative OMB Single Audit report examples that might be of interest to accountants, auditors, or financial staff. The examples can be obtained by their fax hotline: (202) 938-3797, request document number 311; or from their Internet page. The Internet address is [www.aicpa.org](http://www.aicpa.org).

If the U.S. Department of Education is the cognizant agency for the grantee organization, the following shows, according to the location of the grantee entity, which location of the Office of Inspector General to contact for single audit-related questions. For programmatic questions, grantees should contact the Education Program Contact shown on the Department's Grant Award Notification.

U.S. Department of Education Non-Federal Audit Teams

Director, Non-Federal Audits  
Office of Inspector General  
U.S. Department of Education  
Wanamaker Building  
100 Penn Square East, Suite 502  
Philadelphia, PA 19107  
Phone: Voice (215) 656-6900  
FAX (215) 656-6397

NATIONAL OFFICE CONTACT and audits in Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Puerto Rico, and the Virgin Islands.

Non-Federal Audit Team  
Office of Inspector General  
U.S. Department of Education  
1999 Bryan Street, Suite 2630  
Dallas, TX 75201-6817  
Phone: Voice (214) 880-3031  
FAX (214) 880-2492

For audits in Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, New Mexico, North Carolina, Oklahoma, South Carolina, Tennessee, and Texas.

Non-Federal Audit Team  
Office of Inspector General  
U.S. Department of Education  
8930 Ward Parkway, Suite 2401  
Kansas City, MO 64114-3302  
Phone: Voice (816) 268-0502  
FAX (816) 823-1398

For audits in Alaska, Arizona, California, Colorado, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Montana, Nebraska, Nevada, North Dakota, Ohio, Oregon, South Dakota, Utah, Washington, Wisconsin, Wyoming, and the Pacific Islands.

## GRANT ATTACHMENT 8

### **Trafficking in Persons**

The Department of Education adopts the requirements in the Code of Federal Regulations at 2 CFR 175 and incorporates those requirements into this grant through this condition. The grant condition specified in 2 CFR 175.15(b) is incorporated into this grant with the following changes. Paragraphs a.2.ii.B and b.2.ii. are revised to read as follows:

“a.2.ii.B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 34 CFR part 85.”

“b.2.ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 34 CFR part 85.”

Under this condition, the Secretary may terminate this grant without penalty for any violation of these provisions by the grantee, its employees, or its subrecipients.

12/2014

**Reporting Prime Awardee Executive Compensation Data As Required under the Federal Funding Accountability and Transparency Act**

The Federal Funding Accountability and Transparency Act (FFATA) is designed to increase transparency and improve the public's access to Federal government information. To this end, FFATA requires that executive compensation data be reported for all new Federal grants funded at \$25,000 or more that meet the reporting conditions as set forth in this grant award term, and that are awarded on or after October 1, 2010. For FFATA reporting purposes, the prime awardee (i.e. the grantee) is the entity listed in box 1 of the Grant Award Notification.

**a. Reporting Total Compensation of the Prime Awardee's Executives:**

**1. *Applicability and what to report.*** The prime awardee must report total compensation for each of its five most highly compensated executives for the preceding completed fiscal year, if all of the following conditions are applicable: —

**i.** the total Federal funding authorized to date under this award is \$25,000 or more; **and**

**ii.** in the preceding fiscal year, the prime awardee received--

**(A)** 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); **and**

**(B)** \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); **and**

**iii.** The public does not have access to information about the compensation of the executives 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. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at [www.sec.gov/answers/execomp.htm](http://www.sec.gov/answers/execomp.htm).)

**2. *Where, what and when to report.*** The prime awardee must report executive compensation described in paragraph **a.1.** of this grant award term as part of its registration profile in the System for Award Management ([www.SAM.gov](http://www.SAM.gov)).

**i.** The types of compensation that must be reported for each subrecipient are listed in the definition of "total compensation" appearing in item **b** of this grant award term. If this is the first award the prime awardee has received that is subject to the reporting requirements in paragraph **a.1.**, the prime awardee must report by the end of the month following the month in which this award is made, and on each anniversary of this award.

**b. Definitions. For purposes of this grant award term:**

**1. *Entity*** means all of the following, as defined in 2 CFR Part 25:

- i.** A Governmental organization, which is a State, local government, or Indian tribe;
- ii.** A foreign public entity;
- iii.** A domestic or foreign nonprofit organization;
- iv.** A domestic or foreign for-profit organization;
- v.** A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

**2. *Executive*** means officers, managing partners, or any other employees in management positions.

**3. *Total compensation*** means the cash and noncash dollar value earned by the executive during the prime awardee's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- i.** Salary and bonus.
- ii.** Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii.** Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv.** Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- v.** Above-market earnings on deferred compensation which is not tax-qualified.
- vi.** Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

12/2014

**UNITED STATES DEPARTMENT OF EDUCATION**  
*Office of the Chief Financial Officer*

**MEMORANDUM to ED GRANTEES REGARDING THE USE OF GRANT FUNDS FOR CONFERENCES AND MEETINGS**

You are receiving this memorandum to remind you that grantees must take into account the following factors when considering the use of grant funds for conferences and meetings:

- Before deciding to use grant funds to attend or host a meeting or conference, a grantee should:
  - Ensure that attending or hosting a conference or meeting is consistent with its approved application and is reasonable and necessary to achieve the goals and objectives of the grant;
  - Ensure that the primary purpose of the meeting or conference is to disseminate technical information, (e.g., provide information on specific programmatic requirements, best practices in a particular field, or theoretical, empirical, or methodological advances made in a particular field; conduct training or professional development; plan/coordinate the work being done under the grant); and
  - Consider whether there are more effective or efficient alternatives that can accomplish the desired results at a lower cost, for example, using webinars or video conferencing.
- Grantees must follow all applicable statutory and regulatory requirements in determining whether costs are reasonable and necessary, especially the Cost Principles for Federal grants set out at 2 CFR Part 200 Subpart E of the, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.” In particular, remember that:
  - Federal grant funds cannot be used to pay for alcoholic beverages; and
  - Federal grant funds cannot be used to pay for entertainment, which includes costs for amusement, diversion, and social activities.
- Grant funds may be used to pay for the costs of attending a conference. Specifically, Federal grant funds may be used to pay for conference fees and travel expenses (transportation, per diem, and lodging) of grantee employees, consultants, or experts to attend a conference or meeting if those expenses are reasonable and necessary to achieve the purposes of the grant.
  - When planning to use grant funds for attending a meeting or conference, grantees should consider how many people should attend the meeting or conference on their behalf. The number of attendees should be reasonable and necessary to accomplish the goals and objectives of the grant.
- A grantee hosting a meeting or conference may not use grant funds to pay for food for conference attendees unless doing so is necessary to accomplish legitimate meeting or conference business.
  - A working lunch is an example of a cost for food that might be allowable under a Federal grant if attendance at the lunch is needed to ensure the full participation by conference attendees in essential discussions and speeches concerning the purpose of the conference and to achieve the goals and objectives of the project.
- A meeting or conference hosted by a grantee and charged to a Department grant must not be promoted as a U.S. Department of Education conference. This means that the seal of the U.S. Department of Education must not be used on conference materials or signage without Department approval.

**UNITED STATES DEPARTMENT OF EDUCATION**

*Office of the Chief Financial Officer*

- All meeting or conference materials paid for with grant funds must include appropriate disclaimers, such as the following:

The contents of this (insert type of publication; e.g., book, report, film) were developed under a grant from the Department of Education. However, those contents do not necessarily represent the policy of the Department of Education, and you should not assume endorsement by the Federal Government.
- Grantees are strongly encouraged to contact their project officer with any questions or concerns about whether using grant funds for a meeting or conference is allowable prior to committing grant funds for such purposes.
  - A short conversation could help avoid a costly and embarrassing mistake.
- Grantees are responsible for the proper use of their grant awards and may have to repay funds to the Department if they violate the rules on the use of grant funds, including the rules for meeting- and conference-related expenses.

12/2014



## Attachment F

### Request for Approval of Program Income

In projects that generate program income <sup>10)</sup>, the recipient calculates the amount of program income according to the guidance given in:

- 34 CFR 74.20(f) [institutions of higher education, nonprofit organizations, and hospitals]; or
- 34 CFR 80.25(c) [State and local governments and Federally recognized Indian tribes].

Unless checked below as NOT ALLOWED, the recipient may exercise any of the options or combination of options, as provided in EDGAR <sup>11)</sup>, for using program income generated in the course of the recipient's authorized project activities:

Not Allowed Adding program income to funds committed to the project by the Secretary and recipient and using it to further eligible project or program objectives;

Not Allowed Using program income to finance the non-Federal share of the project or program; and


Not Allowed Deducting program income from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

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<sup>10)</sup> As defined in §74.2 and §80.25(b) of the Education Department General Administrative Regulations (EDGAR)

<sup>11)</sup> 34 CFR 74.24(a)-(h) [Institutions of higher education, nonprofit organizations, and hospitals]; or  
34 CFR 80.25(a)-(h) [State and local governments and Federally-recognized Indian tribes]

12/13/2005

<b>1. DATE ISSUED:</b> 05/16/2016		<b>2. PROGRAM CFDA:</b> 93.870		 <p align="center"><b>NOTICE OF AWARD</b> AUTHORIZATION (Legislation/Regulation) Social Security Act, Title V, Section 511 (42 U.S.C. §711), as amended by Section 2951 of the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148).</p>																																																						
<b>3. SUPERSEDES AWARD NOTICE dated:</b> 03/29/2016 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.																																																										
<b>4a. AWARD NO.:</b> 6 X10MC29507-01-01		<b>4b. GRANT NO.:</b> X10MC29507	<b>5. FORMER GRANT NO.:</b>																																																							
<b>6. PROJECT PERIOD:</b> <b>FROM:</b> 04/01/2016 <b>THROUGH:</b> 09/30/2018																																																										
<b>7. BUDGET PERIOD:</b> <b>FROM:</b> 04/01/2016 <b>THROUGH:</b> 09/30/2018																																																										
<b>8. TITLE OF PROJECT (OR PROGRAM):</b> Maternal, Infant and Early Childhood Homevisiting Grant Program																																																										
<b>9. GRANTEE NAME AND ADDRESS:</b> DEPARTMENT OF HEALTH UTAH P O BOX 144003 SALT LAKE CITY, UT 84114-4003 <b>DUNS NUMBER:</b> 959347972				<b>10. DIRECTOR:</b> (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR) Samuel Lee DEPARTMENT OF HEALTH UTAH Division Line: Bureau of Child Development 3760 Highland Drive Salt Lake City, UT 84106																																																						
<b>11. APPROVED BUDGET:</b> (Excludes Direct Assistance) <input checked="" type="checkbox"/> Grant Funds Only <input type="checkbox"/> Total project costs including grant funds and all other financial participation				<b>12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE:</b>																																																						
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<b>15. PROGRAM INCOME SUBJECT TO 45 CFR 75.307 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b> <b>A=Addition B=Deduction C=Cost Sharing or Matching D=Other</b> <span style="float:right"><b>[A]</b></span> Estimated Program Income: \$0.00																																																										
<b>16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:</b> a. The grant program legislation cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 75 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.																																																										
<b>REMARKS:</b> (Other Terms and Conditions Attached <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No) All draw-down terms and restrictions remain in effect. This NoA is issued to remove one or more Grant Conditions imposed on projects.																																																										
<b>Electronically signed by Tya Renwick , Grants Management Officer on :</b> 05/16/2016																																																										
<b>17. OBJ. CLASS:</b> 41.51		<b>18. CRS-EIN:</b> 1876000545C1		<b>19. FUTURE RECOMMENDED FUNDING:</b> \$0.00																																																						
<b>FY-CAN</b>	<b>CFDA</b>	<b>DOCUMENT NO.</b>	<b>AMT. FIN. ASST.</b>	<b>AMT. DIR. ASST.</b>	<b>SUB PROGRAM CODE</b>	<b>SUB ACCOUNT CODE</b>																																																				
16 - 3895616	93.870	16X10MC29507	\$0.00	\$0.00		16MIECHV-F																																																				

## HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPSExternal/Interface/common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-Go4-HRSA/877-464-4772.

## Terms and Conditions

**Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.**

### Grant Specific Term(s)

1. The grant condition stated below on NoA 1 X10MC29507-01-00 is hereby lifted.

The grantee must submit a revised budget justification to: (1) explain the variation between the remaining FY 14 funds reported on the Period of Availability Spreadsheet that reflects \$0 versus the remaining FY 2014 funds reported in the Payment Management System totaling \$546,911, (2) provide the annual/base salary for the Support Services Coordinator, Health Program Manager, and Bureau Director positions as reflected under the personnel category, (3) provide a description/justification for each travel occurrence referenced under the travel category and identify the mandatory national and regional meetings as outlined in the FOA, (4) breakout the \$15,000 allocated for out-of-state travel to provide the costs associated with airfare, lodging, per diem, etc., (5) provide a description/justification and cost calculations used to determine each item listed under the "current expense" category, (6) provide the rate and a copy of the most recent indirect cost rate agreement to support the funds (\$50,143) allocated for indirect costs, (7) identify and provide the percentage and costs of direct services outlined in the budget, (8) rebudget funds allocated to support the "Help Me Grow" program/contract as per the application services in Duchesne and Uintah plan to be discontinued and MIECHV-funded home visiting services have not been implemented in Carbon County (funds allocated for the HMG program have been deemed unallowable), (9) provide a clear explanation as to how each contractual cost was calculated/determined, and (10) provide the costs and percentages for the recipient-level infrastructure and administrative expenditures which in combination cannot exceed more than 25% of the award total (per the FOA administrative expenditures is further subject to a 10% cap).

All prior terms and conditions remain in effect unless specifically removed.

## Contacts

### NoA Email Address(es):

Name	Role	Email
Samuel Lee	Program Director	samlee@utah.gov
Shari Watkins	Authorizing Official	swatkins@utah.gov
Samuel Lee	Point of Contact	samlee@utah.gov

Note: NoA emailed to these address(es)

### Program Contact:

For assistance on programmatic issues, please contact Tammy Brown at:  
 HRSA\MCHB\DHVECS  
 1961 Stout Street  
 RM 08-148  
 Denver, CO, 80294-  
 Email: [tbrown@hrsa.gov](mailto:tbrown@hrsa.gov)  
 Phone: (303) 844-7861  
 Fax: (303) 844-0002

### Division of Grants Management Operations:

For assistance on grant administration issues, please contact Tya Renwick at:  
 MailStop Code: 10W65B  
 MCHSB/DGMO/OFAM/HRSA  
 5600 Fishers Ln  
 RM 10W65B  
 Rockville, MD, 20857-0001  
 Email: [trenwick@hrsa.gov](mailto:trenwick@hrsa.gov)  
 Phone: (301) 594-0227  
 Fax: (301) 443-6343



----- Forwarded message -----

From: **Office of Proposal Management** <[awards@rwjf.org](mailto:awards@rwjf.org)>

Date: Wed, Aug 10, 2016 at 2:04 PM

Subject: I.D. 73871 - Award Approved

To: "Gary R. Herbert" <[gherbert@utah.gov](mailto:gherbert@utah.gov)>

Cc: Tonya Myrup <[tmyrup@utah.gov](mailto:tmyrup@utah.gov)>, Brent Platt <[bplatt@utah.gov](mailto:bplatt@utah.gov)>, Mandy LeBreche <[rwifirl@umn.edu](mailto:rwifirl@umn.edu)>, Jeremy Hirschi <[jehirschi@utah.gov](mailto:jehirschi@utah.gov)>

I am pleased to inform you that the Robert Wood Johnson Foundation has approved the following award, which is being made under the Foundation's Interdisciplinary Research Leaders program:

Awardee: State of Utah Division of Child and Family Services

I.D.: 73871

Amount: \$75,000

Purpose: Interdisciplinary Research Leaders Cohort One - 2016

Project Grant Period: September 1, 2016 through August 31, 2019

Information:

Participant: Tonya Myrup, MSW, [801-538-7271](tel:801-538-7271) ([tmyrup@utah.gov](mailto:tmyrup@utah.gov))

RWJF Contact: Senior Program Officer: Nancy Wieler Fishman, RN, MPH, [609-627-5893](tel:609-627-5893) ([nfishman@rwjf.org](mailto:nfishman@rwjf.org))

Program Financial Analyst: James L. Mendez, [609-627-6316](tel:609-627-6316) ([jmendez@rwjf.org](mailto:jmendez@rwjf.org))

Please refer to the following information pertaining to your grant.

1. **Payment of Award**

Payment in the amount of \$25,000, which represents payment of the first year funding under your award, will be processed and you can expect receipt within two weeks. We will distribute the funds for each subsequent year of the program upon receipt of your financial and narrative report described in section 5 below and notification from the program leadership center indicating acceptable progress in the program by the participant.

2. **Terms**

The terms of your award are outlined in the Foundation's Letter of Agreement, which is the legal document governing your award, signed by your authorized official, dated August 10, 2016.

3. **Contracts**

Unless previously approved during budget negotiations, the Foundation must agree to the use of a contractor. The terms and conditions of any contracts so approved should be consistent with the terms and conditions of the Foundation's Letter of Agreement. The Foundation will not be a party to your contracts. You retain full responsibility for your contracts, which includes overseeing the work and deliverables, and reporting the expenses associated with the contract to the Foundation. We recommend that you consider including right to audit provisions and record retention expectations when negotiating contracts.

If Foundation funds are the sole source of support for the project funded by your award, for all contracts, the start date should not be earlier than the start date of your award, and the end date should not be later than the end date of the award. Other funds should be used to pay for any contractual costs that begin earlier than the anticipated start date or end later than the anticipated end date of the award.

4. **Audits**

The Foundation may select grantees and contractors to be audited. If your organization is selected, you will be notified in advance of the audit.

5. **Reporting**

The Foundation expects that the program participant will be in close communication with the National Program Center. As such, your reporting requirements under this award are fairly minimal. An annual Narrative Report is due by September 30 following the close of each year of the grant including at the end of the grant. We want to hear from you if you find yourself facing unusual challenges at any time during your grant. Please alert the program officer or program

financial analyst about such concerns as soon as they become apparent, rather than waiting to tell us in your Narrative Report.

The narrative report should be no more than two pages, using 12-point font and single line spacing and should be sent as a PDF file. The narrative report should include the five-digit RWJF grant ID, the dates covered by the report, the sponsoring institution's name, mailing address and email address, the name and title of the person completing the report and the name of the program participant. The Narrative Report should:

- a. Describe generally how the participant funds were used (e.g., to defray salary/release time, to cover miscellaneous supplies, to cover indirect expenses of the sponsoring institution).
- b. Include a statement that participant funds were not used to subsidize individuals for the costs of their health care other than through company provided health insurance benefits, to support clinical trials of unapproved drugs or devices, to construct or renovate facilities, for lobbying, for political activities, as a substitute for funds currently being used to support similar activities, or for any other uses not permitted under the Letter of Agreement.
- c. Describe any unexpected issues, concerns or successes you have had administering the grant during this reporting period.

Please submit all reports and products electronically to [grantreports@rwjf.org](mailto:grantreports@rwjf.org). The document, RWJF Electronic Submission Standards, provides instructions. It can be found at [www.rwjf.org/grantees/instructionslist.jsp](http://www.rwjf.org/grantees/instructionslist.jsp).

In the event the participant develops papers, manuscripts or other materials as part of participation in the program, such documents should be submitted consistent with RWJF Electronic Submission Standards referenced above.

6. **Financial Correspondence**

When submitting correspondence about your grant, please refer to the above-captioned ID#. Correspondence (including any changes to the financial officer) and questions regarding financial matters or items in this letter should be addressed to the program financial analyst listed above.

7. **Communications**

The Foundation would like to know about any communications plans you have for this project, and, if appropriate, to involve your project in our overall communications about our strategy in this area. Please email Beth Toner, RWJF senior communications officer, at [etoner@rwjf.org](mailto:etoner@rwjf.org) about any communications activities you propose. Please do not issue any public announcements about your project without first checking with both RWJF communications and your national program office. This includes all materials that you propose to produce and disseminate that include the Foundation's name and logo. Please go to [www.rwjf.org/grantees/policies/logo.jsp](http://www.rwjf.org/grantees/policies/logo.jsp) to read more about our guidelines for communicating about your grant and/or using the RWJF logo.

We are privileged to have you in the Foundation's family of grantees. We are enthusiastic that the Participant is joining this program and appreciative of your willingness to serve in the role as Sponsoring Institution.

Sincerely,

Risa Lavizzo-Mourey, M.D., M.B.A.  
President and CEO  
Robert Wood Johnson Foundation  
Route 1 & College Road East  
Princeton, NJ 08543  
Tel. 877 843 RWJF (7953)  
[www.rwjf.org](http://www.rwjf.org)

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# *Environmental Council of the States*

50 F Street NW, Suite 350  
Washington, DC 20001  
202-266-4920

## *Service Agreement*

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ECOS Contract Number: ITRC-16-UT

Contractor: State of Utah - Department Environmental Quality

Contact Name: Hans Millican

Address: 195 N 1950 W  
P.O. Box 144840  
Salt Lake City, Utah 84114-4810

Tel. Number: (801) 536-4115

Email Address: [hmillican@utah.gov](mailto:hmillican@utah.gov)

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This Agreement is dated 03/16/2016 and is between the Environmental Council of the States ("ECOS") and State of Utah - Department of Environmental Quality ("Contractor"). The parties agree as follows:

1. **Background.** The Interstate Technology and Regulatory Council (ITRC) is a program of the Environmental Research Institute of the States (ERIS). ERIS is a 501(c)(3) organization incorporated in the District of Columbia and managed by the Environmental Council of the States (ECOS). ECOS is the national, non-profit, non-partisan association representing the state and territorial environmental commissioners. ECOS will issue and administer contracts on behalf of ITRC. ITRC's mission is to develop information resources and help break down barriers to the acceptance and use of technically sound innovative solutions to environmental challenges through an active network of diverse professions.
2. **Period of Performance.** This Agreement covers services for the period of April 1, 2016 through December 31, 2016 (the "Period of Performance").
3. **Responsibilities of ECOS.** ECOS will contract separately with additional consultants as necessary for the project, including those listed below. These consultants are referred to collectively with ECOS and the Contractor as the "Project Team".
  - A. Meeting Planning Contract Support
  - B. Overall Project Management Contract Support
  - C. Training Program Contract Support
  - D. State Engagement Contract Support
  - E. Outreach, Communications, and Membership Contract Support
4. **Scope of Work.** Participation by Douglas Bacon on the ITRC Board of Advisors in the position of State Engagement Coordinator. He will coordinate state POC involvement in ITRC, attend meetings of the Board, participate in regular Board conference calls, and perform other duties requested by the Board.
5. **Project Schedule.** The Contractor shall perform its services in accordance with the schedule established by ECOS and the ITRC Board of Advisors. If the schedule established is not achievable, Contractor shall notify ECOS and the ITRC Board of Advisors and an alternative schedule may be designated, upon consultation with the Contractor.

6. **Subcontractors.** ECOS approves the following as subcontractors of the Contractor: None

7. **Compensation.**



As compensation for all services performed pursuant to this Agreement, ECOS agrees to pay the Contractor \$11,250 allocated as shown in the table below. Travel expenses are not included in this amount.

Amount	Invoice Date
\$3,750	June 30, 2016
\$3,750	September 30, 2016
\$3,750	December 31, 2016

8. **Compliance with Funding Conditions.** This project is funded through and subject to the provisions of Cooperative Agreement Number W912DY-14-2-0500 between ECOS and the Department of Defense, Cooperative Agreement Number DE-EM0001400 between ECOS and the Department of Energy, and Cooperative Agreement Number RT-83577001 between ECOS and the Environmental Protection Agency (collectively, the "Funding Agreement").

9. **Terms & Conditions.** The provisions of the attached "General Terms & Conditions" are a part of this Agreement and are incorporated by reference.

IN WITNESS WHEREOF, the parties are signing this Agreement as of the date stated in the introductory paragraph.

ECOS	Contractor
By: 	By: 
Name: Alexandra Dapolito Dunn, Esq.	Name: Brad T Johnson
Title: Executive Director & General Counsel	Title: Deputy Director





# United States Department of the Interior

BUREAU OF LAND MANAGEMENT  
Utah State Office



August 19, 2016

**In Reply Refer To:**  
1511 (UT-952)

Utah Division of State History  
Attn: Chris Merritt  
300 S. Rio Grande St  
Salt Lake City, UT 84101

Subject: BLM Utah Division of State History Data Sharing and Management Project  
Financial Assistance Funding Opportunity No. L16AS00261

Dear Chris,

Congratulations! Enclosed is a copy of Cooperative Agreement No. L16AC00268 awarded in response to your application for Federal Financial Assistance under the subject opportunity. Acceptance of a financial assistance award from the Bureau of Land Management (BLM) carries with it the responsibility to be aware of and comply with the terms and conditions of award. Acceptance is defined as the start of work, drawing down of funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by the BLM and are subject to the terms and conditions incorporated therein either directly or by reference.

Please carefully read the entire agreement and take special note of the performance goals and measures, the period of performance, the payment process, the reporting requirements and due dates, and any Special Terms & Conditions. Periodic submission of Financial Reports (SF-425), Performance Reports, and Youth Employment Reports are required under the Terms and Conditions of this agreement. Please contact your BLM Program Officer (PO) with any questions (contact information is listed on the award cover sheet).

Sincerely,

Melanie Beckstead  
Grants Management Officer

Enclosures: Cooperative Agreement  
Program Officer Appointment Memorandum

cc: BLM Program Officer (PO)



# United States Department of the Interior

BUREAU OF LAND MANAGEMENT  
Utah State Office



August 19, 2016

**In Reply Refer To:**  
1511 (UT-952)

Memorandum

To: Laurel Glidden

From: Melanie Beckstead, Grants Management Officer

Subject: Program Officer Appointment Memo and Monitoring Plan Determination  
Financial Assistance Agreement No. L16AC00268, BLM Utah Division of State  
History Data Sharing and Management Project

1. You are hereby appointed as the BLM Program Officer (PO) for the subject agreement. A copy of the agreement is attached for your records. Please sign the attached Program Officer Certification Statement and return it to the GMO. As the PO of record, you are responsible for the actions of any BLM staff which help you in administering this agreement, such as BLM technical advisors (TA) or BLM project inspectors (PI).
2. Your appointment shall remain in effect until the agreement expires, your appointment is terminated in writing by the GMO, or you are reassigned. As PO, you represent the GMO in all technical matters under this agreement and shall:
  - Familiarize yourself with the details, terms, and conditions of the agreement.
  - Advise the GMO of anything affecting the implementation or costs of the agreement.
  - Respond to any technical questions the recipient may have.
  - Monitor the recipient's progress (see Monitoring Plan below).
  - Review the recipient's Performance and Financial Reports to ensure progress is commensurate with expenditures.
  - Notify the recipient and the GMO immediately of any concerns and/or discrepancies on the recipient's reports.
  - Notify the GMO immediately of any changes to the PO designation for this award.

In addition, keep in mind that you shall not:

- Re-delegate your authority to any other person.
  - Authorize any changes, additional costs, or additional payments under the agreement.
3. Monitoring Plan: Information documented in the Financial Assistance Risk Assessment Checklist and the Program Officer's Technical Evaluation completed prior to award of this

agreement was used to determine the recipient's level of risk. Determined levels of risk can range from low, to medium, to high. Generally, agreements with higher levels of risk require closer and more frequent monitoring. At a minimum, any monitoring plan should include the following actions:

- Meeting with the recipient to review the agreement, project management plan, and reporting requirements;
- Monitoring of timely submission of financial and performance reports;
- Holding periodic telephone conferences and/or desk reviews as often as needed;
- Visiting project sites, as often as needed; and
- Preparing for agreement closeout.

Copies of the following forms are included with this memo and should be used to document implementation of the Monitoring Plan:

- Monitoring Report
- Site Visit Report
- Financial Assistance Conversation Record

Copies of all monitoring documentation and correspondence should be forwarded to the GMO as soon as is convenient.

Enclosures:

Cooperative Agreement  
Award Letter  
Program Officer's Certification Statement  
Monitoring Report  
Site Visit Report  
Financial Assistance Conversation Record

cc: Recipient



**PROGRAM OFFICER  
CERTIFICATION STATEMENT**  
Department of the Interior

Cooperative Agreement No.: **L16AC00268**

Recipient: **Utah Division of State History**

Project Title: **BLM Utah Division of State History Data Sharing and Management Project**

I hereby certify that I have read and understand the details of the above Financial Assistance Agreement, including its Purpose, Objectives, Reporting Requirements, Standard Terms & Conditions, and referenced Recipient Proposal.

I also certify that I have read and understand my Program Officer appointment memorandum, that I am a trained Certified Financial Assistance Program Officer, and that I accept the role's duties, responsibilities, and limitations as they apply to the above Financial Assistance Agreement.

Laurel Glidden

*Printed Name*

\_\_\_\_\_

*Signature*

\_\_\_\_\_

*Date*

**Sign, Date, and Return a copy of this Certification to:**

Melanie Beckstead, Grants Management Specialist  
E-mail: [mbeckstead@blm.gov](mailto:mbeckstead@blm.gov)

# MONITORING REPORT

(BLM - Financial Assistance)

*This report provides the grant/program manager's substantive assessment of project implementation and serves to give guidance in determining any required corrective actions. Upon completion and review the original will be placed in the award file.*

**AWARD NUMBER:** L16AC00268 **DATE:** \_\_\_\_\_

**RECIPIENT:** Utah Division of State History

**AWARD TITLE:** BLM Utah Division of State History Data Sharing and Management Project

**REPORT SUBMITTED BY:** \_\_\_\_\_  
(Name & Title)

## SUMMARY OF PROGRESS

*Discuss the status of the project in relation to major work plan milestones. Address, 1) number of clients served as compared with projection; 2) staffing; 3) activities undertaken, and 4) significant accomplishment:*

Comments:

## MONITORING

*Indicate dates of site visits or telephone monitoring, staff interviewed, location visited, project elements reviewed, products reviewed.*

Comments:

## ISSUES/PROBLEMS

*Discuss significant new issues/problems with respect to projected milestones, audits, staffing, client flow, departures from approved goals, late reports, etc.:*

Comments:

## PROGRAM IMPLEMENTATION

*Indicate milestones met this quarter and identify milestones scheduled to occur in the following quarter:*

Comments:

## ACTIVITIES/PRODUCTS

*Identify any reports or products that were submitted during the quarter, and identify those due the following quarter:*

Comments:

**CORRECTIVE ACTIONS**

*Indicate actions taken and proposed by grant manager with respect to resolving problems:*

Comments:

**ASSESSMENT OF QUALITY OF IMPLEMENTATION**

*Is project being implemented on schedule? Are the activities impacting the goals and objectives as outlined in approved application?*

Comments:

*Rev Jan 2014*

# SITE VISIT REPORT

(BLM - Financial Assistance)

*This document is to be completed following monitoring visits. The original report is to be placed in the award file. The report will contain the following:*

**AWARD NUMBER:** L16AC00268 **DATE:** \_\_\_\_\_

**RECIPIENT:** Utah Division of State History

**AWARD TITLE:** BLM Utah Division of State History Data Sharing and Management Project

**SITE(S) VISITED:** \_\_\_\_\_

**REPORT SUBMITTED BY:** \_\_\_\_\_

(Name & Title)

## **ACHIEVEMENTS IN THE PROJECT IMPLEMENTATION PLAN**

*Identify milestones met and anticipated:*

Comments:

## **PROBLEMS AND/OR ISSUES ADDRESSED**

*Discuss significant new issues/problems with respect to projected milestones, audits, staffing, client flow, departures from approved goals, late reports, etc.:*

Comments:

## **DEVIATIONS FROM THE IMPLEMENTATION PLAN**

*Indicate any implementation plan revisions/corrections:*

Comments:

## **COMPLIANCE WITH SPECIAL CONDITIONS**

*Identify any compliance-related issues:*

Comments:

## **RECOMMENDATIONS**

*Note any recommendations regarding performance time, objectives, etc.:*

Comments:





# Grant and Cooperative Agreement

CHOOSE ONE:  
 COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:     EDUCATION     FACILITIES     RESEARCH     SDCR     TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER L16AC00302	2. SUPPLEMENT NUMBER	3. EFFECTIVE DATE 09/13/2016	4. COMPLETION DATE
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5. ISSUED TO NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip) STATE LIBRARY, UTAH Attn: ATTN GOVERNMENT POC 300 RIO GRANDE SALT LAKE CITY UT 84101-1106	6. ISSUED BY    BLM UT-STATE OFC ADM SVCS BR (UT952) <b>Mailing Address:</b> 440 WEST 200 SOUTH, SUITE 500 SALT LAKE CITY UT 84101
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7. TAXPAYER IDENTIFICATION NO. (TIN)	9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone) Dr. Derinna Kopp, (801) 245-7245 dkopp@utah.edu
8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO. 1TB66	

10. RESEARCH, PROJECT OR PROGRAM TITLE  
BLM Utah NAGPRA Assistance

11. PURPOSE  
See Schedule

12. PERIOD OF PERFORMANCE (Approximately)  
09/13/2016 through 09/30/2021

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$0.00	PREVIOUS	\$0.00
THIS ACTION	\$49,976.49	THIS ACTION	\$49,976.49
CASH SHARE	\$0.00	<b>TOTAL</b>	\$49,976.49
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$0.00		
<b>TOTAL</b>	\$49,976.49		

14. ACCOUNTING AND APPROPRIATION DATA  
See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020105329			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Diana Barg		(801) 539-4214	dbarg@blm.gov
NEGOTIATOR				
ADMINISTRATOR	Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS				

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
FEDERAL LAND POLICY AND MANAGEMENT ACT OF 1976 (FLPMA), 43 USC 1737 (b), Public Law 94-579

17. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING PROVISIONS <input type="checkbox"/> FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT	18. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> PROVISIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS
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<b>UNITED STATES OF AMERICA</b>	<b>COOPERATIVE AGREEMENT RECIPIENT</b>
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CONTRACTING/GRANT OFFICER Melanie Beckstead	DATE	AUTHORIZED REPRESENTATIVE	DATE
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# Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
	<p>CFDA Number: 15.224  DUNS Number: 119839934  Funding Opportunity Number: L16AS00020  Required Cost Sharing/Matching: None  Indirect Cost Rate: 0%</p> <p>Required Periodic Status Reporting  Performance Reports: Annual  SF425 Financial Reports: Annual  E-mail Reports To:  BLM_UT_Financial_Assistance@blm.gov</p> <p>Refer to Attachment No. 1 for Award Terms and Conditions</p> <p>11. PURPOSE:  This cooperative agreement is made and entered into by the Department of the Interior, Bureau of Land Management, the Utah State Office (BLM), and Utah Division of State History, the recipient, for the purpose of BLM Utah NAGPRA Assistance project transferring something of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States.</p> <p>BLM substantial involvement by the BLM Program Officer (PO) will be collaborate with the Recipient to manage all stages of project development, implementation, and evaluation. Responsibility for project management, control, and direction will be shared by the recipient and the BLM, however the BLM will have the right to intervene by modifying the project management plan if the project is not staying on schedule and/or technical issues arise.</p> <p>Legacy Doc #: BLM  Delivery Location Code: 0004276679  Continued ...</p>				

# Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
00010	BLM-UT UTAH STATE OFFICE* 440 WEST 200 SOUTH, SUITE 500 PO BOX 45155 SALT LAKE CITY UT 84101 US  Period of Performance: 09/13/2016 to 09/30/2021  NAGPRA ASSISTANCE Obligated Amount: \$33,203.12  Accounting Info: 01 Account Assignment: K G/L Account: 6100.411C0 Business Area: L000 Commitment Item: 411C00 Cost Center: LLUT980300 Functional Area: L18200000.XX0000 Fund: 12XL1109AF Fund Center: LLUT980300 Project/WBS: LX.SS.J0570000 PR Acct Assign Line: 01 Funded: \$33,203.12				33,203.12
00020	NAGPRA ASSISTANCE Obligated Amount: \$16,773.37  Accounting Info: 01 Account Assignment: K G/L Account: 6100.411C0 Business Area: L000 Commitment Item: 411C00 Cost Center: LLUT980300 Functional Area: L12200000.AE0000 Fund: 15XL1109AF Fund Center: LLUT980300 Project/WBS: LX.SS.J0570000 PR Acct Assign Line: 01 Funded: \$16,773.37  The total amount of award: \$49,976.49. The obligation for this award is \$49,976.49.				16,773.37

**1. COOPERATIVE AGREEMENT OBJECTIVES:**

A. Objectives: The objective of this agreement is for the BLM to establish a partnership with the Utah Division of State History for the collection and analysis of remains inadvertently discovered on BLM lands. This project will provide for the needed skeletal analyses to complete the determination of cultural affiliation for these sets of remains.

B. Public Benefits: This project will provide greater compilation, inventory, and control of NAGPRA collections and inadvertent discoveries within the state of Utah. This control, as well as the skeletal analysis and cultural affiliation determinations, should allow NAGPRA cases to progress towards completion, which will benefit the descendant tribes in the region. The Utah Division of State History and the specialists conducting the work will benefit by gaining additional experience and providing near state-wide consistency to cases involving human remains. This consistency will streamline the identification and affiliation processes of cases. Any future inadvertent discovery cases will benefit from the expertise of the Utah Division of State History and should help projects or areas of land that are impacted by an inadvertent discovery case progress towards a resolution.

C. Federal Award Performance Goals

This agreement incorporates the recipient's proposed milestones as indicated below.

<b>Milestone / Task / Activity</b>	<b>Planned Start Date</b>	<b>Planned Completion Date</b>
Establish Analysis Priority Order	Date of Award	06/30/2017
Temporary secure storage of human remains (25 sets)	06/30/2017	06/30/2018
Rehousing in archival materials (15 sets)	06/30/2017	06/30/2018
Analysis and reporting of human remains (25 sets)	06/30/2017	11/30/2021
Assistance with recovery (5 instances)	Date of Award	09/30/2021

**2. PROPOSED WORK**

A. The Recipient's Project Proposal entitled Anthropological Services, NAGPRA Assistance, is accepted by the BLM and made a part of this agreement in order to serve as the agreement's work plan. Other documents incorporated by reference include the recipient's Standard Form (SF) 424 Application for Federal Assistance, dated 05/27/2016 SF424A, Budget Information - Non-Construction Programs, SF424B, Assurances - Non-Construction Programs, Budget Detail, and signed Certification Regarding Lobbying - Certification for Contracts, Grants, Loans and Cooperative Agreements.

**B. In addition, the BLM will:**

Make site visits as warranted by program needs.

C. In addition, the recipient will also be responsible for significant developments, i.e., events which may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, the recipient must inform the BLM or pass-through entity as soon as the following types of conditions become known:

1. Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

2. Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

**3. TERM OF AGREEMENT**

A. The term, or period of performance, of this agreement shall become effective as of the date shown on the signed award cover page and may remain in effect for a maximum of five (5) years. The BLM will consider continued support of the project upon; (a) the recipient showing progress satisfactory to the BLM toward program goals and the determination by the BLM that continuation of the program would be in the best interests of the Government, and/or (b) the availability of funds.

**B. Budget and Program Revisions**

1. Recipients must submit in writing to the BLM's Program Officer (PO) any request for budget or program revision in accordance with 2 CFR 200.308.

2. All modifications to the agreement shall be in writing and signed by the GMO. No oral statements or any written statements made by any person other than the GMO, shall in any manner modify or otherwise affect the terms of the agreement.

C. Termination. This agreement may be terminated in accordance with the provisions of 2 CFR, Subpart D, Section 200.339 Termination.

**4. FINANCIAL SUPPORT AND PAYMENT METHOD**

A. Funding. This agreement may be funded each fiscal year (FY) based on the availability of BLM funding. Funds obligated but not expended by the recipient in a FY may be carried forward and expended in subsequent years.

B. Maximum Obligations. The total obligations, including modifications, represent the amount for which the BLM will be responsible under the terms of this agreement. The BLM shall not be responsible to pay for, nor shall the recipient be responsible to perform, any effort that will require the expenditure of Federal funds above the current obligated amount.

C. Reimbursable Costs and Limitations. The recipient shall not incur costs or obligate funds for any purpose pertaining to operation of the program or activities beyond the expiration date stated in the agreement. The only costs which are authorized for a period of up to 90 days following the award expiration date are those strictly associated with closeout activities for preparation of the final report. The BLM's financial participation is limited. The BLM will only fund up to its share of those amounts requested in the project proposal and as are subsequently approved and funded in the agreement. The recipient shall not be obligated to continue performance under the agreement or to incur costs in excess of the costs set forth in the proposal and subsequent agreement. However, if the Recipient chooses to expend funds in excess of the approved project budget, the Recipient will be responsible to fund the excess without funding participation by the Bureau.

#### D. Cost Sharing and Matching

Cost sharing for this agreement shall be in accordance with 2 CFR, Subpart D, Section 200.306, Cost sharing or matching.

1. There is no cost share or match legislatively required for this award.

#### E. Program Income

Program income generated for this agreement shall be in accordance with 2 CFR, Subpart D, Section 200.307, Program income. (1) *Deduction*. Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the GMO authorizes otherwise. Program income that the recipient did not anticipate at the time of the Federal award must be used to reduce the Federal award and recipient contributions rather than to increase the funds committed to the project.

#### F. Indirect Costs

1. The recipient has not requested reimbursement for indirect costs.

#### G. Payment by Reimbursement

1. Payment will be made by draw-down reimbursement through the Department of the Treasury, Automated Standard Application for Payment (ASAP) System. See following website: <http://www.fms.treas.gov/asap>. Treasury Circular 1075 (31 CFR 205) requires that draw-downs to a recipient organization shall be limited to the minimum amounts needed and shall be timed to be in accordance with the actual, immediate cash requirements of the recipient organization in carrying out the purposes of the approved program or project. The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs and the proportionate share of any allowable indirect costs

2. Funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds, must be disbursed before requesting additional cash payments.

## H. Agency Review

If a recipient has a history of poor performance, financial instability, uses a management system not meeting standards prescribed by the Uniform Administrative Requirements, has not conformed to the terms and conditions of the award, and/or is not otherwise responsible in safeguarding Federal funds, they may be determined to be "high risk" and be placed on Agency Review. Agency Review limits a recipient's access to funds by requiring that all draw-down requests reviewed and approved prior to their being released. Recipients on agency review must submit a completed Standard Form (SF) 270 Request for Advance Payment or Reimbursement for each payment requested along with a detailed explanation of how the costs correspond to the approved budget categories as listed on their Application for Federal Assistance SF-424A Budget Information and their Detailed Budget Breakdown or Challenge Cost Share Program Commitment Document, whichever is applicable. Being put on Agency Review does not relieve the recipient of required financial or performance reporting requirements.

### I. System for Award Management (SAM, [www.SAM.gov](http://www.SAM.gov))

Recipients of Federal financial assistance must maintain current registration with the System for Award Management (SAM, [www.SAM.gov](http://www.SAM.gov)). Failure to maintain registration can impact access to funds and future obligations under this agreement and any other financial assistance or procurement award the recipient may have with the Federal government.

## 5. PERFORMANCE & FINANCIAL MONITORING

A. In accordance with 2 CFR 200.327 Financial Reporting and 200.328 Monitoring and Reporting Program Performance, the recipient is responsible for oversight, monitoring, and reporting of its activities under Federal awards to assure compliance with applicable Federal requirements and that performance expectations are being achieved. The BLM's monitoring of the recipient's activities may include review of the award file including discussions with the recipient regarding reporting, award activities, and project status (desk reviews), analysis of financial and performance reports, and discussions of specific issues related to project implementation, observation of project activity, and review of planned versus actual progress (site visits). The BLM has the right to inspect and evaluate the work performed or being performed under this agreement, and the premises where the work is being performed, at all reasonable times and in a manner that will not unduly delay the work. If the BLM performs inspection or evaluation on the premises of the recipient or a sub-recipient, the recipient shall furnish and shall require sub-recipients to furnish all reasonable facilities and assistance for the safe and convenient performance of these duties.

1. BLM programmatic monitoring addresses the content and substance of the program. It is a qualitative review to determine performance, innovation, and contributions to the field. The BLM may make site visits as warranted by program needs. In addition, the BLM has the right of timely and unrestricted access to any books, documents, papers, or other records of the recipient's that are pertinent to the award, in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to recipient personnel for the purpose of interviews and discussions related to such documents.

2. BLM financial monitoring ensures compliance with financial guidelines and general accounting practices. On-site or internal financial reviews are conducted to determine if: (1)

award recipients are properly accounting for the receipt and expenditures of federal funds; (2) expenditures are in compliance with federal requirements and award special conditions; and (3) proper documentation on financial monitoring activities is prepared, maintained, and distributed as appropriate.

**6. PERFORMANCE, FINANCIAL, AND OTHER REPORTING**

Periodic financial, performance, and (if applicable) youth employment status reporting is a condition of this financial assistance award. Submission of reports is required whether or not any work has been attempted and/or any funds have been drawn down or expended. Failure to comply with the reporting requirements included in this agreement may be considered a material non-compliance with the terms and conditions of the award. Non-compliance may result in withholding of future payments, suspension or termination of the agreement, recovery of funds paid under the agreement, and withholding of future awards. The periodic status reporting required under this agreement is as follows.

**A. Annual Federal Financial Reports**

1. Recipients of Federal financial assistance are required to submit periodic financial reports which document the financial status of their awards. The Federal Financial Report (FFR) or Standard Form (SF) 425 and SF425A - Attachment is the Office of Management and Budget (OMB) standard form used to report financial status. Expenditures and/or income may be reported either on a cash or accrual basis, whichever method is normally used by the recipient. Submitted SF425 reports must be signed by an authorized official of the recipient certifying that the information complete, accurate, consistent with the recipient's accounting system, and that all expenditures and obligations are for the purposes set forth in the agreement. The SF425 represents a claim to the Federal government, filing a false claim may result in civil or criminal penalties. Blank SF425 forms with instructions are available on the Grants.gov web site, URL: <http://www.grants.gov/web/grants/forms.html>.

2. Annual Reporting. Financial status reports under this agreement must be submitted on an annual basis. Reporting periods and report due dates under this agreement shall be as follows:

<u>Reporting Period Dates</u>	<u>Submit Reports By</u>
Award Start Date <i>through</i> September 30, 2017* .....	December 31, 2017*

\*And each 12-Month period thereafter for the life of the agreement.

3. Annual financial reports are due by 90 Calendar days after the end of the reporting period. E-mail financial status reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

4. At the end of the agreement, final SF425 financial reports are due by 90 Calendar days after the expiration, termination, and/or project completion, whichever comes first. E-mail final financial status reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"



**B. Annual Performance Reports**

1. Recipients of Federal financial assistance are required to submit periodic performance reports prepared in accordance with 2 CFR, Subpart D, Section 200.328 Monitoring and Reporting Program Performance. There is no standard form, however performance reports should always relate to the performance goals and objectives identified in Section 1. of this agreement. Performance reports must be submitted in a narrative summary to include, but not limited to, the following:

- a. Completed established goals, work in progress, future work, the percentage of work completed (based on Section 1 and 2 of this document).
- b. The reasons why established goals and objectives were not met or problems which may impact the ability to complete work on time with recommendations on their resolution, if appropriate.
- c. Prediction of future activities and how they will be accomplished.
- d. Where the accomplishments of the Federal award can be quantified, a computation of the cost (for example, related to units of accomplishment) may be required if that information will be useful.
- e. Where performance trend data and analysis would be informative to the BLM program the Federal awarding agency should include this as a performance reporting requirement.
- f. Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

2. Annual Reporting. Performance status reports under this agreement must be submitted on an annual basis. Reporting periods and report due dates under this agreement shall be as follows:

**Reporting Period Dates**

**Submit Reports By**

Award Start Date *through* September 30, 2017\* .....December 31, 2017\*

\*And each 12 Months thereafter for the life of the agreement.

3. Annual performance reports are due by 90 Calendar days after the end of the reporting period. E-mail performance reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

4. At the end of the agreement, final performance reports are due by 90 Calendar days after the expiration, termination, and/or project completion, whichever comes first. E-mail final performance reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

**C. Property Reporting**

1. SF-428 Tangible Personal Property Report is also required under the terms and conditions of this cooperative agreement. Tangible personal property means property of any kind, except real property, that has physical existence. It includes equipment and supplies. It does not include copyrights, patents or securities. Property may be provided by the awarding agency or acquired by the recipient with award funds. Federally-owned property consists of items that were furnished by the Federal government.

**Reporting Period Dates**

**Submit Reports By**

Award Start Date *through* September 30, 2017\* .....December 31, 2017\*

\*If Federally Owned Property, report required annually. Any property acquired under this agreement, report required every two years thereafter for the life of the agreement.

**7. LIABILITY, INSURANCE, AND INDEMNIFICATION**

A. Liability. The BLM assumes no liability for any actions or activities conducted under this agreement except to the extent that recourse or remedies are provided by Congress under the Federal Tort Claims Act, 28 USC 2671.

B. Indemnification. The recipient hereby agrees:

1. To indemnify the federal government, Bureau of Land Management (BLM), from any act or omission of the recipient, its officers, employees, or (members, participants, agents, representatives, agents as appropriate) (1) against third party claims for damages arising from one or more activities carried out in connection with this financial assistance agreement and (2) for damage or loss to government property resulting from such an activity, to the extent the laws of the State where the recipient is located permit. This obligation shall survive the termination of this agreement.

2. To pay the United States the full value for all damage to the lands or other property of the United States caused by the recipient, its officers, employees, or (members, participants, agents, representatives, agents as appropriate).

3. To provide workers' compensation protection to the recipient's officers, employees, and representatives.

4. To cooperate with the BLM in the investigation and defense of any claims that may be filed with the BLM arising out of the activities of the recipient, its agents, and employees.

5. In the event of damage to or destruction of the buildings and facilities assigned for the use of the recipient in whole or in part by any cause whatsoever, nothing herein contained shall be deemed to require the BLM to replace or repair the buildings or facilities. If the BLM determines in writing, after consultation with the recipient that damage to the buildings or portions thereof renders such buildings unsuitable for continued use by the recipient, the BLM shall assume sole control over such buildings or portions thereof. If the buildings or facilities rendered unsuitable for use are essential for conducting operations authorized under this

agreement, then failure to substitute and assign other facilities acceptable to the recipient will constitute termination of this agreement by the BLM.

C. Flow-down. For the purposes of this clause, "recipient" includes such subrecipients, contractors, or subcontractors as, in the judgment of the recipient and subject to the Government's determination of sufficiency, have sufficient resources and/or maintain adequate and appropriate insurance to achieve the purposes of this clause.

D. Identified Activities. All activities carried out in connection with this financial assistance agreement.

## **8. BLM PROPERTY STANDARDS**

A. Government-furnished property (GFP), such as tools and equipment, furnished by the BLM to the recipient shall be used for official purposes only and shall be subject to the terms of the agreement. Tools and equipment shall be returned in the same condition received except for normal wear and tear in project use. Any BLM property used or other property acquired under this agreement, including intangible property such as copyrights and patents, shall be governed by the property management provisions of 2 CFR, Subpart D, Sections 200.310 to 200.316, Property Standards.

### **B. Intangible Property.**

1. Title to intangible property (see § 200.59 Intangible property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity must use that property for the originally-authorized purpose, and must not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in § 200.313 Equipment paragraph (e).

2. The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

3. The non-Federal entity is subject to applicable regulations governing patents and inventions, including Governmentwide regulations issued by the Department of Commerce at 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Awards, Contracts and Cooperative Agreements."

4. The Federal government has the right to: (a) Obtain, reproduce, publish, or otherwise use the data produced under a Federal award; and (b) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

C. Recipient staff will be required to complete a BLM-approved Defensive Driving Course if driving a Government-owned vehicle (GOV).

D. Recipient staff will be required to complete a BLM-approved Four-wheel ATV safety and training program if using Government-furnished ATVs.

E. Recipient staff will be required to complete a BLM-approved safety and training program if using Government-furnished power equipment, such as chainsaws, wood chippers, etc. The recipient will be responsible for meeting all protective equipment requirements if using Government-furnished equipment.

## 9. KEY OFFICIALS

The key officials on this agreement are listed on the award cover page(s) and are considered to be essential to ensure maximum coordination and communication between the parties and the work being performed. Upon written notice, either party may designate an alternate to act in the place of their designated key official.

## 10. GENERAL TERMS AND CONDITIONS

The U.S. Department of the Interior agencies, including the Bureau of Land Management implemented the new regulations on December 26, 2014 in the 2 CFR, Part 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

### A. Administrative and National Policy Requirements

1. By accepting Federal funding, your organization agrees to abide by the new Uniform Guidance for Grants in the expenditure of Federal funds and performance under this financial assistance award, which was implemented by Office of Management and Budget (OMB). Final Guidance has been issued and has superseded requirements from OMB Circulars, which have been replaced by the 2 Code of Federal Regulations (CFR) Grants and Agreements, Part 200.

2 CFR, Part 200 is available at the following website: [http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

### B. Administrative Requirements

1. [2 CFR Part 200](#) Subparts A through D - UNIFORM ADMINISTRATIVE REQUIREMENTS, AND COST PRINCIPLES.

2. [2 CFR, Subpart B](#), 200.112 - CONFLICT OF INTEREST – *Refer to Section 13, item 1. of this document for full text term and condition.*

3. [2 CFR, Subpart B](#), 200.317 – 316 - Procurement Standards.

a. §200.326 Contract Provisions: The non-Federal entity's contracts must contain the applicable provisions described in Appendix II to Part, 200 – Contract Provisions for non-Federal Entity Contracts Under Federal Awards. *Refer to Section 13, item 2. of this document for full text term and condition.*

4. [2 CFR, Subpart C, Part 200.412 - 419](#) – Direct and Indirect (F & A) Cost

a. 2 CFR, [Appendix III to Part 200 - Indirect \(F&A\) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education \(IHEs\)](#)

b. [Appendix IV to Part 200 - Indirect \(F&A\) Costs Identification and Assignment, and Rate Determination for Nonprofit Organizations](#)

c. [Appendix V to Part 200 - State/Local Government-wide Central Service Cost Allocation Plans](#)

5. [2 CFR Part 200 Subpart F - AUDIT REQUIREMENTS](#). Non-Federal entities that expend \$750,000.00, or more, in federal awards in a single year shall have a single or program-specific audit conducted for that year in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, available at: [http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default).

a. This and any other federal financial assistance award should be reported under its appropriate Catalog of Federal Domestic Assistance (CFDA) number, refer to header for appropriate CFDA to report.

6. [Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters](#). (Refer to Section 13. 3. below for full text.)

C. Program Legislation and/or Regulations:

1. Scientific integrity is vital to Department of the Interior (DOI) activities under which scientific research, data, summaries, syntheses, interpretations, presentations, and/or publications are developed and used. Failure to uphold the highest degree of scientific integrity will result not only in potentially flawed scientific results, interpretations, and applications but will damage DOI's reputation and ability to uphold the public's trust. All work performed must comply with the DOI Scientific Integrity Policy posted to <http://www.doi.gov>, or its equivalent as provided by their organization or State law. For more information go to URL: <https://www.doi.gov/scientificintegrity>.

2. The recipient shall conduct their work in accordance with the Archaeological Resources Protection Act (16 U.S.C. 470 aa-mm) and its implementing regulations found at Title 43, Part 7 of the *Code of Federal Regulations* (43 CFR 7); the regulations, Curation of Federally-Owned and Administered Archaeological Collections, found at Title 36, Part 79 of the Code of Federal Regulations (36 CFR 79); and the Native American Graves Protection and Repatriation Act (NAGPRA) (25 U.S.C. 3001) and its implementing regulations found at Title 43, Part 10 of the *Code of Federal Regulations* (43 CFR 10), where applicable. All activities related to NAGPRA, except those laid out in the proposal for NAGPRA Assistance, shall be done by, or under the direction of, a designated local or state BLM-Utah official.

D. Standard Award Terms and Conditions

1. Code of Federal Regulations/Regulatory Requirements, as applicable:

- a. [2 CFR Part 25](#), *Universal Identifier and System of Award Management*
- b. [2 CFR Part 170](#), *Reporting Subawards and Executive Compensation*
- c. [2 CFR Part 175](#), *Award Term for Trafficking in Persons*
- d. [2 CFR Part 180](#) & [2 CFR Part 1400](#), *Government-wide Debarment and Suspension (Non-procurement)*
- e. [2 CFR Part 182](#) & [2 CFR Part 1401](#), *Requirements for Drug-Free Workplace (Financial Assistance)*
- f. [43 CFR 18](#), *New Restrictions on Lobbying*: Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), *Certification Regarding Lobbying*.

g. [41 USC §4712](#), *Pilot Program for Enhancement of Recipient and Sub-recipient Employee Whistleblower Protection*: This requirement applies to all awards issued after July 1, 2013 and shall be in effect until January 1, 2017.

(a) This award and related subawards and contracts over the simplified acquisition threshold and all employees working on this award and related subawards and contracts over the simplified acquisition threshold are subject to the whistleblower rights and remedies in the pilot program on award recipient employee whistleblower protections established at 41 U.S.C. 4712 by section 828 of the *National Defense Authorization Act for Fiscal Year 2013* (P.L. 112-239).

(b) Recipients, and their subrecipients and contractors awarded contracts over the simplified acquisition threshold related to this award, shall inform their employees in writing, in the predominant language of the workforce, of the employee whistleblower rights and protections under 41 U.S.C. 4712.

(c) The award recipient shall insert the substance of this clause, including this paragraph (c), in all subawards or subcontracts over the simplified acquisition threshold, 42 CFR §52.203-17 (as referenced in 42 CFR §3.908-9).

h. [41 USC §6306](#), *Prohibition on Members of Congress Making Contracts with Federal Government*: No member of or delegate to the United States Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

i. [Executive Order 13513](#), *Federal Leadership on Reducing Text Messaging while Driving*: Recipients are encouraged to adopt and enforce policies that ban text messaging while driving, including conducting initiatives of the type described in section 3(a) of the order.

j. [Executive Order 13043](#), *Increase Seat Belt Use in the United States*: Recipients of grants/cooperative agreements and/or sub-awards are encouraged to adopt and enforce on-the-job seat belt use policies and programs for their employees when operating company-owned, rented, or personally owned vehicles. These measures include, but are not limited to, conducting education, awareness, and other appropriate programs for their employees about the importance of wearing seat belts and the consequences of not wearing them.

k. [Executive Order 13658](#), *Minimum Wage for Contractors*, seeks to increase the efficiency and cost savings in the work performed by parties who contract with the Federal Government by increasing the hourly minimum wage paid by those contractors and any subcontractors. (see 79 CFR 9851). Refer to Section 13, item 4. of this document for full text term and condition.

l. **Opposition to Any Legislation.** In accordance with the Department of the Interior, Environment, and Related Agencies Act, 2006, Title IV, Section 402, no part of any appropriation contained in this Act shall be available for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete other than to communicate to Members of Congress as described in 18 U.S.C. 1913.

m. **Endorsements.**

(1) Recipient shall not publicize or otherwise circulate, promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies governmental, Departmental,

bureau, or government employee endorsement of a product, service, or position which the recipient represents. No release of information relating to this award may state or imply that the Government approves of the recipient's work products, or considers the recipient's work product to be superior to other products or services.

(2) All information submitted for publication or other public releases of information regarding this project shall carry the following disclaimer:

*The views and conclusions contained in this document are those of the authors and should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.*

(3) Recipient must obtain prior Government approval for any public information releases concerning this award which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.

(4) A recipient further agrees to include this provision in a subaward to and subrecipient, except for a subaward to a State government, a local government, or to a federally recognized Indian tribal government.

n. Publications of Results of Studies. No party will unilaterally publish a joint publication without consulting the other party. This restriction does not apply to popular publications of previously published technical matter. Publications pursuant to this Agreement may be produced independently or in collaboration with others; however, in all cases proper credit will be given to the efforts of those parties contribution to the publication. In the event no agreement is reached concerning the manner of publication or interpretation of results, either party may publish data after due notice and submission of the proposed manuscripts to the other. In such instances, the party publishing the data will give due credit to the cooperation but assume full responsibility for any statements on which there is a difference of opinion.

o. Retention and Access Requirements for Records.

(1) All recipient financial and programmatic records, supporting documents, statistical records, and other grants-related records shall be maintained and available for access in accordance with 2 CFR, Subpart D, Sections 200.333 through 200.337, Record Retention and Access.

(2) Inspector General's (IG's) Office Access to Records - Recipients shall provide additional access for the IG's office to examine recipient's records and to interview officers/employees of recipient.

p. Prohibition on Issuing Financial Assistance Awards to Entities that Require Certain Internal Confidentiality Agreements.

Section 743 of Division E, Title VII of the Consolidated and Further Continuing Resolution Appropriations Act of 2015 (Pub. L. 113-235) prohibits the use of funds appropriated or otherwise made available under that or any other Act for grants or cooperative agreements to an entity that requires employees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information.

Recipients must not require their employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information.

Recipients must notify their employees or contractors that existing internal confidentiality agreements covered by this condition are no longer in effect.

2. Order of Precedence. Any inconsistency in this agreement shall be resolved by giving precedence in the following order: (a) Any national policy requirements and administrative management standards; (b) 2 CFR. Part 200; (c) requirements of the applicable OMB Circulars and Treasury regulations; (d) special terms and conditions; (e) all agreement sections, documents, exhibits, and attachments; and (f) the recipient's project proposal.

## **11. SPECIAL TERMS AND CONDITIONS**

A. Deposit of Publications. In addition to any requirements listed in the Project Management Plan, two (2) copies of each applicable publication produced under this agreement shall be sent to the Natural Resources Library with a transmittal that identifies the sender and the publication, and states that the publication is intended for deposit in the Natural Resources Library. Publications shall be sent to the following address:

U.S. Department of the Interior  
Natural Resources Library  
Interior Service Center  
Gifts and Exchanges Section  
1849 C Street, N.W.  
Washington, D.C. 20240

## **12. DEFINITIONS & ACRONYMS**

**Agency Review:** If a recipient has a history of poor performance, financial instability, has a management system not meeting standards prescribed by the Uniform Administrative Requirements, has not conformed to the terms and conditions of the award, and/or is not otherwise responsible in safeguarding federal funds, they may be placed on Agency Review. Agency Review limits a recipient's access to funds by requiring that all payments must be requested, reviewed, and approved prior to their being released.

**Award Recipient:** The Award Recipient is the recipient's individual who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards.

**BLM:** Bureau of Land Management may, also be referred to as Bureau.

**CFR:** Code of Federal Regulations.

**DOI:** Department of the Interior.

**FFR:** Federal Financial Report or Standard Form (SF) 425.

**Financial Assistance Agreement:** This grant or cooperative agreement. The term grant is defined as all Federal financial assistance that provides support or stimulation to accomplish a



public purpose. Use of the term “grant” includes grants and/or cooperative agreements awarded by the Federal Government to eligible recipients.

FY: Federal Fiscal Year which runs from October 1 through September 30 each year.

GMO: Grants Management Officer, the only individual in the BLM who is authorized to obligate funds, award, modify, and/or terminate assistance agreements.

GMS: Grants Management Specialist, the administrative individual authorized to prepare assistance agreement awards and modifications, but who cannot obligate funds, award, modify, and/or terminate the agreement.

NTE: Not-to-exceed amount, the maximum Federal funding amount available for reimbursement to the recipient.

OMB: The Office of Management and Budget. OMB leads development of government-wide policy to assure that grants are managed properly and that Federal dollars are spent in accordance with applicable laws and regulations. OMB Circulars that apply to this agreement may be found on the OMB Website, URL: [http://www.whitehouse.gov/omb/circulars\\_default/](http://www.whitehouse.gov/omb/circulars_default/).

PI: The BLM Project Inspector, the technical advisor assisting the BLM Program Officer in administering and monitoring the technical aspects of the agreement. The Project Inspector is not authorized to modify this agreement or obligate the Government in any way.

PO: The BLM Program Officer, appointed for the purposes of monitoring the technical aspects of the agreement. The PO will work closely with the RPM and is authorized to clarify technical requirements, and review and approve work which is clearly within the objectives specified in this agreement. The PO will review financial, performance, and youth employment reports, and review and recommend approval of payments to the GMO if a recipient is on Agency Review. The PO is not authorized to modify this agreement or obligate the Government in any way.

Recipient: The organization and/or individual named in Box 5. of the "Grant and Cooperative Agreement" cover sheet.

RPM: The recipient's Project or Program Manager, designated to direct the project or activity being supported by the agreement. The RPM is responsible and accountable to the recipient and BLM for the proper implementation of the project or activity.

### **13. FULL TEXT TERMS AND CONDITIONS**

#### **1. Department of Interior Conflict of Interest Term and Condition:**

a. The Recipient must establish safeguards to prohibit its employees and Subrecipients from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. The Recipient is responsible for notifying the Grants Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the Recipient or its employees in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient and/or Recipient's employees and Sub-recipients in the matter.

b. The Grants Officer and the servicing Ethics Counselor will determine if a conflict of interest exists. If a conflict of interest exists, the Grants Officer will determine whether a mitigation plan is feasible. Mitigation plans must be approved by the Grants Officer in writing. Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award.

c. Failure to make required disclosures may result in any of the remedies described in 2 CFR § 200.338, Remedies for Noncompliance, including suspension or debarment (see also 2 CFR Part 180).

d. Definitions:

(1) Conflict of Interest is defined as any relationship or matter which might place the Recipient, its employees, and/or its Subrecipients in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient and/or Recipient's employees and Subrecipients in the matter.

(2) Close Personal Relationship means a Federal award program employee's childhood or other friend, sibling, or other family relations that may compromise or impair the fairness and impartiality of the Proposal Evaluator and Advisor and Grants Officer in the review, selection, award, and management of a financial assistance award.

(3) Discretionary Federal Financial Assistance means Federal awards including grants and agreements that are awarded at the discretion of the agency.

(4) Employment means:

(a) In any capacity, even if otherwise permissible, by any applicant or potential applicant for a Federal financial assistance award;

(b) Employment within the last 12 months with a different organization applying for some portion of the award's approved project activities and funding to complete them OR expected to apply for and to receive some portion of the award; and/or

(c) Employment with a different organization of any member of the organization employee's household or a relative with whom the organization's employee has a close personal relationship who is applying for some portion of the award's approved project activities and funding to complete them OR expected to apply for and to receive some portion of the award.

(d) Non-Federal entity means a State, local government, Indian tribe, institution of higher education, or nonprofit organization that carries out a Federal award as a Recipient or Subrecipient.

(e) Recipient means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term Recipient does not include Subrecipients.

(f) Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program, but does not include an individual who is a beneficiary of such program. A Subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

## **2. Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards**

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

(A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

(B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.

(C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

(E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every

mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

(F) **Rights to Inventions Made Under a Contract or Agreement.** If the Federal award meets the definition of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.

(G) **Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—**Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

(H) **Debarment and Suspension (Executive Orders 12549 and 12689)—**A contract award (see 2 CFR 180.220) must not be made to parties listed on the Governmentwide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

(I) **Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—**Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

(J) See §200.322 Procurement of recovered materials.

### **3. Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters**

#### **A. Reporting of Matters Related to Recipient Integrity and Performance**

##### **1. General Reporting Requirement**

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

## 2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five year period; and
- c. Is one of the following:
  - (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
  - (4) Any other criminal, civil, or administrative proceeding if:
    - (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;
    - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
    - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

## 3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

## 4. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you

have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

**5. Definitions**

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

**4. MINIMUM WAGES UNDER EXECUTIVE ORDER 13658 (January 2015)**

(a) Definitions. As used in this clause—

“United States” means the 50 states and the District of Columbia.

“Worker”—

(1) Means any person engaged in performing work on, or in connection with, a contract covered by Executive Order 13658, and

(i) Whose wages under such contract are governed by the Fair Labor Standards Act (29 U.S.C. chapter 8), the Service Contract Labor Standards statute (41 U.S.C. chapter 67), or the Wage Rate Requirements (Construction) statute (40 U.S.C. chapter 31, subchapter IV),

(ii) Other than individuals employed in a bona fide executive, administrative, or professional capacity, as those terms are defined in 29 CFR part 541,

(iii) Regardless of the contractual relationship alleged to exist between the individual and the employer.

(2) Includes workers performing on, or in connection with, the contract whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(c).

(3) Also includes any person working on, or in connection with, the contract and individually registered in a bona fide apprenticeship or training program registered with the Department of Labor's Employment and Training Administration, Office of Apprenticeship, or with a State Apprenticeship Agency recognized by the Office of Apprenticeship.

(b) Executive Order Minimum Wage rate.

(1) The Contractor shall pay to workers, while performing in the United States, and performing on, or in connection with, this contract, a minimum hourly wage rate of \$10.10 per hour beginning January 1, 2015.

(2) The Contractor shall adjust the minimum wage paid, if necessary, beginning January 1, 2016 and annually thereafter, to meet the Secretary of Labor's annual E.O. minimum wage. The Administrator of the Department of Labor's Wage and Hour Division (the Administrator) will publish annual determinations in the Federal Register no later than 90 days before the effective date of the new E.O. minimum wage rate. The Administrator will also publish the applicable E.O. minimum wage on [www.wdol.gov](http://www.wdol.gov) (or any successor Web site) and on all wage determinations issued under the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute. The applicable published E.O. minimum wage is incorporated by reference into this contract.

(3) (i) The Contractor may request a price adjustment only after the effective date of the new annual E.O. minimum wage determination. Prices will be adjusted only if labor costs increase as a result of an increase in the annual E.O. minimum wage, and for associated labor costs and relevant subcontract costs. Associated labor costs shall include increases or decreases that result from changes in social security and unemployment taxes and workers' compensation insurance, but will not otherwise include any amount for general and administrative costs, overhead, or profit.

(ii) Subcontractors may be entitled to adjustments due to the new minimum wage, pursuant to paragraph (b)(2). Contractors shall consider any subcontractor requests for such price adjustment.

(iii) The Contracting Officer will not adjust the contract price under this clause for any costs other than those identified in paragraph (b)(3)(i) of this clause, and will not provide duplicate price adjustments with any price adjustment under clauses implementing the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute.

(4) The Contractor warrants that the prices in this contract do not include allowance for any contingency to cover increased costs for which adjustment is provided under this clause.

(5) A pay period under this clause may not be longer than semi-monthly, but may be shorter to comply with any applicable law or other requirement under this contract establishing a shorter pay period. Workers shall be paid no later than one pay period following the end of the regular pay period in which such wages were earned or accrued.

(6) The Contractor shall pay, unconditionally to each worker, all wages due free and clear without subsequent rebate or kickback. The Contractor may make deductions that reduce a worker's wages below the E.O. minimum wage rate only if done in accordance with 29 CFR 10.23, Deductions.

(7) The Contractor shall not discharge any part of its minimum wage obligation under this clause by furnishing fringe benefits or, with respect to workers whose wages are governed by the Service Contract Labor Standards statute, the cash equivalent thereof.

(8) Nothing in this clause shall excuse the Contractor from compliance with any applicable Federal or State prevailing wage law or any applicable law or municipal ordinance establishing a minimum wage higher than the E.O. minimum wage. However, wage increases under such other laws or municipal ordinances are not subject to price adjustment under this subpart.

(9) The Contractor shall pay the E.O. minimum wage rate whenever it is higher than any applicable collective bargaining agreement(s) wage rate.

(10) The Contractor shall follow the policies and procedures in 29 CFR 10.24(b) and 10.28 for treatment of workers engaged in an occupation in which they customarily and regularly receive more than \$30 a month in tips.

(c) (1) This clause applies to workers as defined in paragraph (a). As provided in that definition—

(i) Workers are covered regardless of the contractual relationship alleged to exist between the contractor or subcontractor and the worker;

(ii) Workers with disabilities whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(c) are covered; and

(iii) Workers who are registered in a bona fide apprenticeship program or training program registered with the Department of Labor's Employment and Training Administration, Office of Apprenticeship, or with a State Apprenticeship Agency recognized by the Office of Apprenticeship, are covered.

(2) This clause does not apply to—

(i) Fair Labor Standards Act (FLSA)-covered individuals performing in connection with contracts covered by the E.O., i.e. those individuals who perform duties necessary to the performance of the contract, but who are not directly engaged in performing the specific work called for by the contract, and who spend less than 20 percent of their hours worked in a particular workweek performing in connection with such contracts;

(ii) Individuals exempted from the minimum wage requirements of the FLSA under 29 U.S.C. 213(a) and 214(a) and (b), unless otherwise covered by the Service Contract Labor Standards statute, or the Wage Rate Requirements (Construction) statute. These individuals include but are not limited to—

(a) Learners, apprentices, or messengers whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(a).

(b) Students whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(b).

(c) Those employed in a bona fide executive, administrative, or professional capacity (29 U.S.C. 213(a)(1) and 29 CFR part 541).

(d) Notice. The Contractor shall notify all workers performing work on, or in connection with, this contract of the applicable E.O. minimum wage rate under this clause. With respect to workers covered by the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute, the Contractor may meet this requirement by posting, in a prominent and accessible place at the worksite, the applicable wage determination under those statutes. With respect to workers whose wages are governed by the FLSA, the Contractor shall post notice, utilizing the poster provided by the Administrator, which can be obtained at [www.dol.gov/whd/govcontracts](http://www.dol.gov/whd/govcontracts), in a prominent and accessible place at the worksite. Contractors that customarily post notices to workers electronically may post the notice electronically provided the electronic posting is displayed prominently on any Web site that is maintained by the contractor, whether external or internal, and customarily used for notices to workers about terms and conditions of employment.



(e) Payroll Records.

(1) The Contractor shall make and maintain records, for three years after completion of the work, containing the following information for each worker:

- (i) Name, address, and social security number;
- (ii) The worker's occupation(s) or classification(s);
- (iii) The rate or rates of wages paid;
- (iv) The number of daily and weekly hours worked by each worker;
- (v) Any deductions made; and
- (vi) Total wages paid.

(2) The Contractor shall make records pursuant to paragraph (e)(1) of this clause available for inspection and transcription by authorized representatives of the Administrator. The Contractor shall also make such records available upon request of the Contracting Officer.

(3) The Contractor shall make a copy of the contract available, as applicable, for inspection or transcription by authorized representatives of the Administrator.

(4) Failure to comply with this paragraph (e) shall be a violation of 29 CFR 10.26 and this contract. Upon direction of the Administrator or upon the Contracting Officer's own action, payment shall be withheld until such time as the noncompliance is corrected.

(5) Nothing in this clause limits or otherwise modifies the Contractor's payroll and recordkeeping obligations, if any, under the Service Contract Labor Standards statute, the Wage Rate Requirements (Construction) statute, the Fair Labor Standards Act, or any other applicable law.

(f) Access. The Contractor shall permit authorized representatives of the Administrator to conduct investigations, including interviewing workers at the worksite during normal working hours.

(g) Withholding. The Contracting Officer, upon his or her own action or upon written request of the Administrator, will withhold funds or cause funds to be withheld, from the Contractor under this or any other Federal contract with the same Contractor, sufficient to pay workers the full amount of wages required by this clause.

(h) Disputes. Department of Labor has set forth in 29 CFR 10.51, Disputes concerning contractor compliance, the procedures for resolving disputes concerning a contractor's compliance with Department of Labor regulations at 29 CFR part 10. Such disputes shall be resolved in accordance with those procedures and not the Disputes clause of this contract. These disputes include disputes between the Contractor (or any of its subcontractors) and the contracting agency, the Department of Labor, or the workers or their representatives.

(i) Anti-retaliation. The Contractor shall not discharge or in any other manner discriminate against any worker because such worker has filed any complaint or instituted or caused to be instituted any proceeding under or related to compliance with the E.O. or this clause, or has testified or is about to testify in any such proceeding.

(j) Subcontractor compliance. The Contractor is responsible for subcontractor compliance with the requirements of this clause and may be held liable for unpaid wages due subcontractor workers.

**BLM Agreement No. L16AC00302**

Recipient Name: Utah Division of State History  
Project Title: BLM Utah NAGPRA Assistance

**Attachment No. 1**

(Pg. 23 of 23)

(k) Subcontracts. The Contractor shall include the substance of this clause, including this paragraph (k) in all subcontracts, regardless of dollar value, that are subject to the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute, and are to be performed in whole or in part in the United States.

***END OF AGREEMENT***

Rev. 06/22/2016

# Grant and Cooperative Agreement

CHOOSE ONE:  
 COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:     EDUCATION     FACILITIES     RESEARCH     SDCR     TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER L16AC00302	2. SUPPLEMENT NUMBER	3. EFFECTIVE DATE 09/13/2016	4. COMPLETION DATE
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5. ISSUED TO NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip) STATE LIBRARY, UTAH Attn: ATTN GOVERNMENT POC 300 RIO GRANDE SALT LAKE CITY UT 84101-1106	6. ISSUED BY    BLM UT-STATE OFC ADM SVCS BR (UT952) <b>Mailing Address:</b> 440 WEST 200 SOUTH, SUITE 500 SALT LAKE CITY UT 84101
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7. TAXPAYER IDENTIFICATION NO. (TIN)	9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone) Dr. Derinna Kopp, (801) 245-7245 dkopp@utah.edu
8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO. 1TB66	

10. RESEARCH, PROJECT OR PROGRAM TITLE  
BLM Utah NAGPRA Assistance

11. PURPOSE  
See Schedule

12. PERIOD OF PERFORMANCE (Approximately)  
09/13/2016 through 09/30/2021

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$0.00	PREVIOUS	\$0.00
THIS ACTION	\$49,976.49	THIS ACTION	\$49,976.49
CASH SHARE	\$0.00	<b>TOTAL</b>	\$49,976.49
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$0.00		
<b>TOTAL</b>	\$49,976.49		

14. ACCOUNTING AND APPROPRIATION DATA  
See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020105329			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Diana Barg		(801) 539-4214	dbarg@blm.gov
NEGOTIATOR				
ADMINISTRATOR	Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS				

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
FEDERAL LAND POLICY AND MANAGEMENT ACT OF 1976 (FLPMA), 43 USC 1737 (b), Public Law 94-579

17. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING PROVISIONS <input type="checkbox"/> FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT	18. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> PROVISIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS
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<b>UNITED STATES OF AMERICA</b>	<b>COOPERATIVE AGREEMENT RECIPIENT</b>
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CONTRACTING/GRANT OFFICER Melanie Beckstead	DATE	AUTHORIZED REPRESENTATIVE	DATE
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# Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
	<p>CFDA Number: 15.224  DUNS Number: 119839934  Funding Opportunity Number: L16AS00020  Required Cost Sharing/Matching: None  Indirect Cost Rate: 0%</p> <p>Required Periodic Status Reporting  Performance Reports: Annual  SF425 Financial Reports: Annual  E-mail Reports To:  BLM_UT_Financial_Assistance@blm.gov</p> <p>Refer to Attachment No. 1 for Award Terms and Conditions</p> <p>11. PURPOSE:  This cooperative agreement is made and entered into by the Department of the Interior, Bureau of Land Management, the Utah State Office (BLM), and Utah Division of State History, the recipient, for the purpose of BLM Utah NAGPRA Assistance project transferring something of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States.</p> <p>BLM substantial involvement by the BLM Program Officer (PO) will be collaborate with the Recipient to manage all stages of project development, implementation, and evaluation. Responsibility for project management, control, and direction will be shared by the recipient and the BLM, however the BLM will have the right to intervene by modifying the project management plan if the project is not staying on schedule and/or technical issues arise.</p> <p>Legacy Doc #: BLM  Delivery Location Code: 0004276679  Continued ...</p>				

# Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
00010	BLM-UT UTAH STATE OFFICE* 440 WEST 200 SOUTH, SUITE 500 PO BOX 45155 SALT LAKE CITY UT 84101 US  Period of Performance: 09/13/2016 to 09/30/2021  NAGPRA ASSISTANCE Obligated Amount: \$33,203.12  Accounting Info: 01 Account Assignment: K G/L Account: 6100.411C0 Business Area: L000 Commitment Item: 411C00 Cost Center: LLUT980300 Functional Area: L18200000.XX0000 Fund: 12XL1109AF Fund Center: LLUT980300 Project/WBS: LX.SS.J0570000 PR Acct Assign Line: 01 Funded: \$33,203.12				33,203.12
00020	NAGPRA ASSISTANCE Obligated Amount: \$16,773.37  Accounting Info: 01 Account Assignment: K G/L Account: 6100.411C0 Business Area: L000 Commitment Item: 411C00 Cost Center: LLUT980300 Functional Area: L12200000.AE0000 Fund: 15XL1109AF Fund Center: LLUT980300 Project/WBS: LX.SS.J0570000 PR Acct Assign Line: 01 Funded: \$16,773.37  The total amount of award: \$49,976.49. The obligation for this award is \$49,976.49.				16,773.37

**1. COOPERATIVE AGREEMENT OBJECTIVES:**

A. Objectives: The objective of this agreement is for the BLM to establish a partnership with the Utah Division of State History for the collection and analysis of remains inadvertently discovered on BLM lands. This project will provide for the needed skeletal analyses to complete the determination of cultural affiliation for these sets of remains.

B. Public Benefits: This project will provide greater compilation, inventory, and control of NAGPRA collections and inadvertent discoveries within the state of Utah. This control, as well as the skeletal analysis and cultural affiliation determinations, should allow NAGPRA cases to progress towards completion, which will benefit the descendant tribes in the region. The Utah Division of State History and the specialists conducting the work will benefit by gaining additional experience and providing near state-wide consistency to cases involving human remains. This consistency will streamline the identification and affiliation processes of cases. Any future inadvertent discovery cases will benefit from the expertise of the Utah Division of State History and should help projects or areas of land that are impacted by an inadvertent discovery case progress towards a resolution.

C. Federal Award Performance Goals

This agreement incorporates the recipient's proposed milestones as indicated below.

<b>Milestone / Task / Activity</b>	<b>Planned Start Date</b>	<b>Planned Completion Date</b>
Establish Analysis Priority Order	Date of Award	06/30/2017
Temporary secure storage of human remains (25 sets)	06/30/2017	06/30/2018
Rehousing in archival materials (15 sets)	06/30/2017	06/30/2018
Analysis and reporting of human remains (25 sets)	06/30/2017	11/30/2021
Assistance with recovery (5 instances)	Date of Award	09/30/2021

**2. PROPOSED WORK**

A. The Recipient's Project Proposal entitled Anthropological Services, NAGPRA Assistance, is accepted by the BLM and made a part of this agreement in order to serve as the agreement's work plan. Other documents incorporated by reference include the recipient's Standard Form (SF) 424 Application for Federal Assistance, dated 05/27/2016 SF424A, Budget Information - Non-Construction Programs, SF424B, Assurances - Non-Construction Programs, Budget Detail, and signed Certification Regarding Lobbying - Certification for Contracts, Grants, Loans and Cooperative Agreements.

**B. In addition, the BLM will:**

Make site visits as warranted by program needs.

C. In addition, the recipient will also be responsible for significant developments, i.e., events which may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, the recipient must inform the BLM or pass-through entity as soon as the following types of conditions become known:

1. Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

2. Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

**3. TERM OF AGREEMENT**

A. The term, or period of performance, of this agreement shall become effective as of the date shown on the signed award cover page and may remain in effect for a maximum of five (5) years. The BLM will consider continued support of the project upon; (a) the recipient showing progress satisfactory to the BLM toward program goals and the determination by the BLM that continuation of the program would be in the best interests of the Government, and/or (b) the availability of funds.

**B. Budget and Program Revisions**

1. Recipients must submit in writing to the BLM's Program Officer (PO) any request for budget or program revision in accordance with 2 CFR 200.308.

2. All modifications to the agreement shall be in writing and signed by the GMO. No oral statements or any written statements made by any person other than the GMO, shall in any manner modify or otherwise affect the terms of the agreement.

C. Termination. This agreement may be terminated in accordance with the provisions of 2 CFR, Subpart D, Section 200.339 Termination.

**4. FINANCIAL SUPPORT AND PAYMENT METHOD**

A. Funding. This agreement may be funded each fiscal year (FY) based on the availability of BLM funding. Funds obligated but not expended by the recipient in a FY may be carried forward and expended in subsequent years.

B. Maximum Obligations. The total obligations, including modifications, represent the amount for which the BLM will be responsible under the terms of this agreement. The BLM shall not be responsible to pay for, nor shall the recipient be responsible to perform, any effort that will require the expenditure of Federal funds above the current obligated amount.

C. Reimbursable Costs and Limitations. The recipient shall not incur costs or obligate funds for any purpose pertaining to operation of the program or activities beyond the expiration date stated in the agreement. The only costs which are authorized for a period of up to 90 days following the award expiration date are those strictly associated with closeout activities for preparation of the final report. The BLM's financial participation is limited. The BLM will only fund up to its share of those amounts requested in the project proposal and as are subsequently approved and funded in the agreement. The recipient shall not be obligated to continue performance under the agreement or to incur costs in excess of the costs set forth in the proposal and subsequent agreement. However, if the Recipient chooses to expend funds in excess of the approved project budget, the Recipient will be responsible to fund the excess without funding participation by the Bureau.

#### D. Cost Sharing and Matching

Cost sharing for this agreement shall be in accordance with 2 CFR, Subpart D, Section 200.306, Cost sharing or matching.

1. There is no cost share or match legislatively required for this award.

#### E. Program Income

Program income generated for this agreement shall be in accordance with 2 CFR, Subpart D, Section 200.307, Program income. (1) *Deduction*. Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the GMO authorizes otherwise. Program income that the recipient did not anticipate at the time of the Federal award must be used to reduce the Federal award and recipient contributions rather than to increase the funds committed to the project.

#### F. Indirect Costs

1. The recipient has not requested reimbursement for indirect costs.

#### G. Payment by Reimbursement

1. Payment will be made by draw-down reimbursement through the Department of the Treasury, Automated Standard Application for Payment (ASAP) System. See following website: <http://www.fms.treas.gov/asap>. Treasury Circular 1075 (31 CFR 205) requires that draw-downs to a recipient organization shall be limited to the minimum amounts needed and shall be timed to be in accordance with the actual, immediate cash requirements of the recipient organization in carrying out the purposes of the approved program or project. The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs and the proportionate share of any allowable indirect costs

2. Funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds, must be disbursed before requesting additional cash payments.



## H. Agency Review

If a recipient has a history of poor performance, financial instability, uses a management system not meeting standards prescribed by the Uniform Administrative Requirements, has not conformed to the terms and conditions of the award, and/or is not otherwise responsible in safeguarding Federal funds, they may be determined to be "high risk" and be placed on Agency Review. Agency Review limits a recipient's access to funds by requiring that all draw-down requests reviewed and approved prior to their being released. Recipients on agency review must submit a completed Standard Form (SF) 270 Request for Advance Payment or Reimbursement for each payment requested along with a detailed explanation of how the costs correspond to the approved budget categories as listed on their Application for Federal Assistance SF-424A Budget Information and their Detailed Budget Breakdown or Challenge Cost Share Program Commitment Document, whichever is applicable. Being put on Agency Review does not relieve the recipient of required financial or performance reporting requirements.

### I. System for Award Management (SAM, [www.SAM.gov](http://www.SAM.gov))

Recipients of Federal financial assistance must maintain current registration with the System for Award Management (SAM, [www.SAM.gov](http://www.SAM.gov)). Failure to maintain registration can impact access to funds and future obligations under this agreement and any other financial assistance or procurement award the recipient may have with the Federal government.

## 5. PERFORMANCE & FINANCIAL MONITORING

A. In accordance with 2 CFR 200.327 Financial Reporting and 200.328 Monitoring and Reporting Program Performance, the recipient is responsible for oversight, monitoring, and reporting of its activities under Federal awards to assure compliance with applicable Federal requirements and that performance expectations are being achieved. The BLM's monitoring of the recipient's activities may include review of the award file including discussions with the recipient regarding reporting, award activities, and project status (desk reviews), analysis of financial and performance reports, and discussions of specific issues related to project implementation, observation of project activity, and review of planned versus actual progress (site visits). The BLM has the right to inspect and evaluate the work performed or being performed under this agreement, and the premises where the work is being performed, at all reasonable times and in a manner that will not unduly delay the work. If the BLM performs inspection or evaluation on the premises of the recipient or a sub-recipient, the recipient shall furnish and shall require sub-recipients to furnish all reasonable facilities and assistance for the safe and convenient performance of these duties.

1. BLM programmatic monitoring addresses the content and substance of the program. It is a qualitative review to determine performance, innovation, and contributions to the field. The BLM may make site visits as warranted by program needs. In addition, the BLM has the right of timely and unrestricted access to any books, documents, papers, or other records of the recipient's that are pertinent to the award, in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to recipient personnel for the purpose of interviews and discussions related to such documents.

2. BLM financial monitoring ensures compliance with financial guidelines and general accounting practices. On-site or internal financial reviews are conducted to determine if: (1)

award recipients are properly accounting for the receipt and expenditures of federal funds; (2) expenditures are in compliance with federal requirements and award special conditions; and (3) proper documentation on financial monitoring activities is prepared, maintained, and distributed as appropriate.

**6. PERFORMANCE, FINANCIAL, AND OTHER REPORTING**

Periodic financial, performance, and (if applicable) youth employment status reporting is a condition of this financial assistance award. Submission of reports is required whether or not any work has been attempted and/or any funds have been drawn down or expended. Failure to comply with the reporting requirements included in this agreement may be considered a material non-compliance with the terms and conditions of the award. Non-compliance may result in withholding of future payments, suspension or termination of the agreement, recovery of funds paid under the agreement, and withholding of future awards. The periodic status reporting required under this agreement is as follows.

**A. Annual Federal Financial Reports**

1. Recipients of Federal financial assistance are required to submit periodic financial reports which document the financial status of their awards. The Federal Financial Report (FFR) or Standard Form (SF) 425 and SF425A - Attachment is the Office of Management and Budget (OMB) standard form used to report financial status. Expenditures and/or income may be reported either on a cash or accrual basis, whichever method is normally used by the recipient. Submitted SF425 reports must be signed by an authorized official of the recipient certifying that the information complete, accurate, consistent with the recipient's accounting system, and that all expenditures and obligations are for the purposes set forth in the agreement. The SF425 represents a claim to the Federal government, filing a false claim may result in civil or criminal penalties. Blank SF425 forms with instructions are available on the Grants.gov web site, URL: <http://www.grants.gov/web/grants/forms.html>.

2. Annual Reporting. Financial status reports under this agreement must be submitted on an annual basis. Reporting periods and report due dates under this agreement shall be as follows:

<u>Reporting Period Dates</u>	<u>Submit Reports By</u>
Award Start Date <i>through</i> September 30, 2017* .....	December 31, 2017*

\*And each 12-Month period thereafter for the life of the agreement.

3. Annual financial reports are due by 90 Calendar days after the end of the reporting period. E-mail financial status reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

4. At the end of the agreement, final SF425 financial reports are due by 90 Calendar days after the expiration, termination, and/or project completion, whichever comes first. E-mail final financial status reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

**B. Annual Performance Reports**

1. Recipients of Federal financial assistance are required to submit periodic performance reports prepared in accordance with 2 CFR, Subpart D, Section 200.328 Monitoring and Reporting Program Performance. There is no standard form, however performance reports should always relate to the performance goals and objectives identified in Section 1. of this agreement. Performance reports must be submitted in a narrative summary to include, but not limited to, the following:

- a. Completed established goals, work in progress, future work, the percentage of work completed (based on Section 1 and 2 of this document).
- b. The reasons why established goals and objectives were not met or problems which may impact the ability to complete work on time with recommendations on their resolution, if appropriate.
- c. Prediction of future activities and how they will be accomplished.
- d. Where the accomplishments of the Federal award can be quantified, a computation of the cost (for example, related to units of accomplishment) may be required if that information will be useful.
- e. Where performance trend data and analysis would be informative to the BLM program the Federal awarding agency should include this as a performance reporting requirement.
- f. Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

2. Annual Reporting. Performance status reports under this agreement must be submitted on an annual basis. Reporting periods and report due dates under this agreement shall be as follows:

**Reporting Period Dates**

**Submit Reports By**

Award Start Date *through* September 30, 2017\* .....December 31, 2017\*

\*And each 12 Months thereafter for the life of the agreement.

3. Annual performance reports are due by 90 Calendar days after the end of the reporting period. E-mail performance reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

4. At the end of the agreement, final performance reports are due by 90 Calendar days after the expiration, termination, and/or project completion, whichever comes first. E-mail final performance reports to the BLM Staff and/or E-mail addresses listed on the Award Coversheet under, "E-mail Reports To:"

**C. Property Reporting**

1. SF-428 Tangible Personal Property Report is also required under the terms and conditions of this cooperative agreement. Tangible personal property means property of any kind, except real property, that has physical existence. It includes equipment and supplies. It does not include copyrights, patents or securities. Property may be provided by the awarding agency or acquired by the recipient with award funds. Federally-owned property consists of items that were furnished by the Federal government.

**Reporting Period Dates**

**Submit Reports By**

Award Start Date *through* September 30, 2017\* .....December 31, 2017\*

\*If Federally Owned Property, report required annually. Any property acquired under this agreement, report required every two years thereafter for the life of the agreement.

**7. LIABILITY, INSURANCE, AND INDEMNIFICATION**

A. Liability. The BLM assumes no liability for any actions or activities conducted under this agreement except to the extent that recourse or remedies are provided by Congress under the Federal Tort Claims Act, 28 USC 2671.

B. Indemnification. The recipient hereby agrees:

1. To indemnify the federal government, Bureau of Land Management (BLM), from any act or omission of the recipient, its officers, employees, or (members, participants, agents, representatives, agents as appropriate) (1) against third party claims for damages arising from one or more activities carried out in connection with this financial assistance agreement and (2) for damage or loss to government property resulting from such an activity, to the extent the laws of the State where the recipient is located permit. This obligation shall survive the termination of this agreement.

2. To pay the United States the full value for all damage to the lands or other property of the United States caused by the recipient, its officers, employees, or (members, participants, agents, representatives, agents as appropriate).

3. To provide workers' compensation protection to the recipient's officers, employees, and representatives.

4. To cooperate with the BLM in the investigation and defense of any claims that may be filed with the BLM arising out of the activities of the recipient, its agents, and employees.

5. In the event of damage to or destruction of the buildings and facilities assigned for the use of the recipient in whole or in part by any cause whatsoever, nothing herein contained shall be deemed to require the BLM to replace or repair the buildings or facilities. If the BLM determines in writing, after consultation with the recipient that damage to the buildings or portions thereof renders such buildings unsuitable for continued use by the recipient, the BLM shall assume sole control over such buildings or portions thereof. If the buildings or facilities rendered unsuitable for use are essential for conducting operations authorized under this

agreement, then failure to substitute and assign other facilities acceptable to the recipient will constitute termination of this agreement by the BLM.

C. Flow-down. For the purposes of this clause, "recipient" includes such subrecipients, contractors, or subcontractors as, in the judgment of the recipient and subject to the Government's determination of sufficiency, have sufficient resources and/or maintain adequate and appropriate insurance to achieve the purposes of this clause.

D. Identified Activities. All activities carried out in connection with this financial assistance agreement.

## **8. BLM PROPERTY STANDARDS**

A. Government-furnished property (GFP), such as tools and equipment, furnished by the BLM to the recipient shall be used for official purposes only and shall be subject to the terms of the agreement. Tools and equipment shall be returned in the same condition received except for normal wear and tear in project use. Any BLM property used or other property acquired under this agreement, including intangible property such as copyrights and patents, shall be governed by the property management provisions of 2 CFR, Subpart D, Sections 200.310 to 200.316, Property Standards.

### **B. Intangible Property.**

1. Title to intangible property (see § 200.59 Intangible property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity must use that property for the originally-authorized purpose, and must not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in § 200.313 Equipment paragraph (e).

2. The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

3. The non-Federal entity is subject to applicable regulations governing patents and inventions, including Governmentwide regulations issued by the Department of Commerce at 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Awards, Contracts and Cooperative Agreements."

4. The Federal government has the right to: (a) Obtain, reproduce, publish, or otherwise use the data produced under a Federal award; and (b) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

C. Recipient staff will be required to complete a BLM-approved Defensive Driving Course if driving a Government-owned vehicle (GOV).

D. Recipient staff will be required to complete a BLM-approved Four-wheel ATV safety and training program if using Government-furnished ATVs.

E. Recipient staff will be required to complete a BLM-approved safety and training program if using Government-furnished power equipment, such as chainsaws, wood chippers, etc. The recipient will be responsible for meeting all protective equipment requirements if using Government-furnished equipment.

## 9. KEY OFFICIALS

The key officials on this agreement are listed on the award cover page(s) and are considered to be essential to ensure maximum coordination and communication between the parties and the work being performed. Upon written notice, either party may designate an alternate to act in the place of their designated key official.

## 10. GENERAL TERMS AND CONDITIONS

The U.S. Department of the Interior agencies, including the Bureau of Land Management implemented the new regulations on December 26, 2014 in the 2 CFR, Part 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

### A. Administrative and National Policy Requirements

1. By accepting Federal funding, your organization agrees to abide by the new Uniform Guidance for Grants in the expenditure of Federal funds and performance under this financial assistance award, which was implemented by Office of Management and Budget (OMB). Final Guidance has been issued and has superseded requirements from OMB Circulars, which have been replaced by the 2 Code of Federal Regulations (CFR) Grants and Agreements, Part 200.

2 CFR, Part 200 is available at the following website: [http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

### B. Administrative Requirements

1. [2 CFR Part 200](#) Subparts A through D - UNIFORM ADMINISTRATIVE REQUIREMENTS, AND COST PRINCIPLES.

2. [2 CFR, Subpart B](#), 200.112 - CONFLICT OF INTEREST – *Refer to Section 13, item 1. of this document for full text term and condition.*

3. [2 CFR, Subpart B](#), 200.317 – 316 - Procurement Standards.

a. §200.326 Contract Provisions: The non-Federal entity's contracts must contain the applicable provisions described in Appendix II to Part, 200 – Contract Provisions for non-Federal Entity Contracts Under Federal Awards. *Refer to Section 13, item 2. of this document for full text term and condition.*

4. [2 CFR, Subpart C, Part 200.412 - 419](#) – Direct and Indirect (F & A) Cost

a. 2 CFR, [Appendix III to Part 200 - Indirect \(F&A\) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education \(IHEs\)](#)

b. [Appendix IV to Part 200 - Indirect \(F&A\) Costs Identification and Assignment, and Rate Determination for Nonprofit Organizations](#)

c. [Appendix V to Part 200 - State/Local Government-wide Central Service Cost Allocation Plans](#)

5. [2 CFR Part 200 Subpart F - AUDIT REQUIREMENTS](#). Non-Federal entities that expend \$750,000.00, or more, in federal awards in a single year shall have a single or program-specific audit conducted for that year in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, available at: [http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default).

a. This and any other federal financial assistance award should be reported under its appropriate Catalog of Federal Domestic Assistance (CFDA) number, refer to header for appropriate CFDA to report.

6. [Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters](#). (Refer to Section 13. 3. below for full text.)

C. Program Legislation and/or Regulations:

1. Scientific integrity is vital to Department of the Interior (DOI) activities under which scientific research, data, summaries, syntheses, interpretations, presentations, and/or publications are developed and used. Failure to uphold the highest degree of scientific integrity will result not only in potentially flawed scientific results, interpretations, and applications but will damage DOI's reputation and ability to uphold the public's trust. All work performed must comply with the DOI Scientific Integrity Policy posted to <http://www.doi.gov>, or its equivalent as provided by their organization or State law. For more information go to URL: <https://www.doi.gov/scientificintegrity>.

2. The recipient shall conduct their work in accordance with the Archaeological Resources Protection Act (16 U.S.C. 470 aa-mm) and its implementing regulations found at Title 43, Part 7 of the *Code of Federal Regulations* (43 CFR 7); the regulations, Curation of Federally-Owned and Administered Archaeological Collections, found at Title 36, Part 79 of the Code of Federal Regulations (36 CFR 79); and the Native American Graves Protection and Repatriation Act (NAGPRA) (25 U.S.C. 3001) and its implementing regulations found at Title 43, Part 10 of the *Code of Federal Regulations* (43 CFR 10), where applicable. All activities related to NAGPRA, except those laid out in the proposal for NAGPRA Assistance, shall be done by, or under the direction of, a designated local or state BLM-Utah official.

D. Standard Award Terms and Conditions

1. Code of Federal Regulations/Regulatory Requirements, as applicable:

- a. [2 CFR Part 25](#), *Universal Identifier and System of Award Management*
- b. [2 CFR Part 170](#), *Reporting Subawards and Executive Compensation*
- c. [2 CFR Part 175](#), *Award Term for Trafficking in Persons*
- d. [2 CFR Part 180](#) & [2 CFR Part 1400](#), *Government-wide Debarment and Suspension (Non-procurement)*
- e. [2 CFR Part 182](#) & [2 CFR Part 1401](#), *Requirements for Drug-Free Workplace (Financial Assistance)*
- f. [43 CFR 18](#), *New Restrictions on Lobbying*: Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), *Certification Regarding Lobbying*.

g. [41 USC §4712](#), *Pilot Program for Enhancement of Recipient and Sub-recipient Employee Whistleblower Protection*: This requirement applies to all awards issued after July 1, 2013 and shall be in effect until January 1, 2017.

(a) This award and related subawards and contracts over the simplified acquisition threshold and all employees working on this award and related subawards and contracts over the simplified acquisition threshold are subject to the whistleblower rights and remedies in the pilot program on award recipient employee whistleblower protections established at 41 U.S.C. 4712 by section 828 of the *National Defense Authorization Act for Fiscal Year 2013* (P.L. 112-239).

(b) Recipients, and their subrecipients and contractors awarded contracts over the simplified acquisition threshold related to this award, shall inform their employees in writing, in the predominant language of the workforce, of the employee whistleblower rights and protections under 41 U.S.C. 4712.

(c) The award recipient shall insert the substance of this clause, including this paragraph (c), in all subawards or subcontracts over the simplified acquisition threshold, 42 CFR §52.203-17 (as referenced in 42 CFR §3.908-9).

h. [41 USC §6306](#), *Prohibition on Members of Congress Making Contracts with Federal Government*: No member of or delegate to the United States Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

i. [Executive Order 13513](#), *Federal Leadership on Reducing Text Messaging while Driving*: Recipients are encouraged to adopt and enforce policies that ban text messaging while driving, including conducting initiatives of the type described in section 3(a) of the order.

j. [Executive Order 13043](#), *Increase Seat Belt Use in the United States*: Recipients of grants/cooperative agreements and/or sub-awards are encouraged to adopt and enforce on-the-job seat belt use policies and programs for their employees when operating company-owned, rented, or personally owned vehicles. These measures include, but are not limited to, conducting education, awareness, and other appropriate programs for their employees about the importance of wearing seat belts and the consequences of not wearing them.

k. [Executive Order 13658](#), *Minimum Wage for Contractors*, seeks to increase the efficiency and cost savings in the work performed by parties who contract with the Federal Government by increasing the hourly minimum wage paid by those contractors and any subcontractors. (see 79 CFR 9851). Refer to Section 13, item 4. of this document for full text term and condition.

l. **Opposition to Any Legislation.** In accordance with the Department of the Interior, Environment, and Related Agencies Act, 2006, Title IV, Section 402, no part of any appropriation contained in this Act shall be available for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete other than to communicate to Members of Congress as described in 18 U.S.C. 1913.

m. **Endorsements.**

(1) Recipient shall not publicize or otherwise circulate, promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies governmental, Departmental,



bureau, or government employee endorsement of a product, service, or position which the recipient represents. No release of information relating to this award may state or imply that the Government approves of the recipient's work products, or considers the recipient's work product to be superior to other products or services.

(2) All information submitted for publication or other public releases of information regarding this project shall carry the following disclaimer:

*The views and conclusions contained in this document are those of the authors and should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.*

(3) Recipient must obtain prior Government approval for any public information releases concerning this award which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.

(4) A recipient further agrees to include this provision in a subaward to and subrecipient, except for a subaward to a State government, a local government, or to a federally recognized Indian tribal government.

n. Publications of Results of Studies. No party will unilaterally publish a joint publication without consulting the other party. This restriction does not apply to popular publications of previously published technical matter. Publications pursuant to this Agreement may be produced independently or in collaboration with others; however, in all cases proper credit will be given to the efforts of those parties contribution to the publication. In the event no agreement is reached concerning the manner of publication or interpretation of results, either party may publish data after due notice and submission of the proposed manuscripts to the other. In such instances, the party publishing the data will give due credit to the cooperation but assume full responsibility for any statements on which there is a difference of opinion.

o. Retention and Access Requirements for Records.

(1) All recipient financial and programmatic records, supporting documents, statistical records, and other grants-related records shall be maintained and available for access in accordance with 2 CFR, Subpart D, Sections 200.333 through 200.337, Record Retention and Access.

(2) Inspector General's (IG's) Office Access to Records - Recipients shall provide additional access for the IG's office to examine recipient's records and to interview officers/employees of recipient.

p. Prohibition on Issuing Financial Assistance Awards to Entities that Require Certain Internal Confidentiality Agreements.

Section 743 of Division E, Title VII of the Consolidated and Further Continuing Resolution Appropriations Act of 2015 (Pub. L. 113-235) prohibits the use of funds appropriated or otherwise made available under that or any other Act for grants or cooperative agreements to an entity that requires employees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information.

Recipients must not require their employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information.

Recipients must notify their employees or contractors that existing internal confidentiality agreements covered by this condition are no longer in effect.

2. Order of Precedence. Any inconsistency in this agreement shall be resolved by giving precedence in the following order: (a) Any national policy requirements and administrative management standards; (b) 2 CFR. Part 200; (c) requirements of the applicable OMB Circulars and Treasury regulations; (d) special terms and conditions; (e) all agreement sections, documents, exhibits, and attachments; and (f) the recipient's project proposal.

## **11. SPECIAL TERMS AND CONDITIONS**

A. Deposit of Publications. In addition to any requirements listed in the Project Management Plan, two (2) copies of each applicable publication produced under this agreement shall be sent to the Natural Resources Library with a transmittal that identifies the sender and the publication, and states that the publication is intended for deposit in the Natural Resources Library. Publications shall be sent to the following address:

U.S. Department of the Interior  
Natural Resources Library  
Interior Service Center  
Gifts and Exchanges Section  
1849 C Street, N.W.  
Washington, D.C. 20240

## **12. DEFINITIONS & ACRONYMS**

**Agency Review:** If a recipient has a history of poor performance, financial instability, has a management system not meeting standards prescribed by the Uniform Administrative Requirements, has not conformed to the terms and conditions of the award, and/or is not otherwise responsible in safeguarding federal funds, they may be placed on Agency Review. Agency Review limits a recipient's access to funds by requiring that all payments must be requested, reviewed, and approved prior to their being released.

**Award Recipient:** The Award Recipient is the recipient's individual who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards.

**BLM:** Bureau of Land Management may, also be referred to as Bureau.

**CFR:** Code of Federal Regulations.

**DOI:** Department of the Interior.

**FFR:** Federal Financial Report or Standard Form (SF) 425.

**Financial Assistance Agreement:** This grant or cooperative agreement. The term grant is defined as all Federal financial assistance that provides support or stimulation to accomplish a

public purpose. Use of the term “grant” includes grants and/or cooperative agreements awarded by the Federal Government to eligible recipients.

FY: Federal Fiscal Year which runs from October 1 through September 30 each year.

GMO: Grants Management Officer, the only individual in the BLM who is authorized to obligate funds, award, modify, and/or terminate assistance agreements.

GMS: Grants Management Specialist, the administrative individual authorized to prepare assistance agreement awards and modifications, but who cannot obligate funds, award, modify, and/or terminate the agreement.

NTE: Not-to-exceed amount, the maximum Federal funding amount available for reimbursement to the recipient.

OMB: The Office of Management and Budget. OMB leads development of government-wide policy to assure that grants are managed properly and that Federal dollars are spent in accordance with applicable laws and regulations. OMB Circulars that apply to this agreement may be found on the OMB Website, URL: [http://www.whitehouse.gov/omb/circulars\\_default/](http://www.whitehouse.gov/omb/circulars_default/).

PI: The BLM Project Inspector, the technical advisor assisting the BLM Program Officer in administering and monitoring the technical aspects of the agreement. The Project Inspector is not authorized to modify this agreement or obligate the Government in any way.

PO: The BLM Program Officer, appointed for the purposes of monitoring the technical aspects of the agreement. The PO will work closely with the RPM and is authorized to clarify technical requirements, and review and approve work which is clearly within the objectives specified in this agreement. The PO will review financial, performance, and youth employment reports, and review and recommend approval of payments to the GMO if a recipient is on Agency Review. The PO is not authorized to modify this agreement or obligate the Government in any way.

Recipient: The organization and/or individual named in Box 5. of the "Grant and Cooperative Agreement" cover sheet.

RPM: The recipient's Project or Program Manager, designated to direct the project or activity being supported by the agreement. The RPM is responsible and accountable to the recipient and BLM for the proper implementation of the project or activity.

### **13. FULL TEXT TERMS AND CONDITIONS**

#### **1. Department of Interior Conflict of Interest Term and Condition:**

a. The Recipient must establish safeguards to prohibit its employees and Subrecipients from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. The Recipient is responsible for notifying the Grants Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the Recipient or its employees in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient and/or Recipient's employees and Sub-recipients in the matter.

b. The Grants Officer and the servicing Ethics Counselor will determine if a conflict of interest exists. If a conflict of interest exists, the Grants Officer will determine whether a mitigation plan is feasible. Mitigation plans must be approved by the Grants Officer in writing. Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award.

c. Failure to make required disclosures may result in any of the remedies described in 2 CFR § 200.338, Remedies for Noncompliance, including suspension or debarment (see also 2 CFR Part 180).

d. Definitions:

(1) Conflict of Interest is defined as any relationship or matter which might place the Recipient, its employees, and/or its Subrecipients in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient and/or Recipient's employees and Subrecipients in the matter.

(2) Close Personal Relationship means a Federal award program employee's childhood or other friend, sibling, or other family relations that may compromise or impair the fairness and impartiality of the Proposal Evaluator and Advisor and Grants Officer in the review, selection, award, and management of a financial assistance award.

(3) Discretionary Federal Financial Assistance means Federal awards including grants and agreements that are awarded at the discretion of the agency.

(4) Employment means:

(a) In any capacity, even if otherwise permissible, by any applicant or potential applicant for a Federal financial assistance award;

(b) Employment within the last 12 months with a different organization applying for some portion of the award's approved project activities and funding to complete them OR expected to apply for and to receive some portion of the award; and/or

(c) Employment with a different organization of any member of the organization employee's household or a relative with whom the organization's employee has a close personal relationship who is applying for some portion of the award's approved project activities and funding to complete them OR expected to apply for and to receive some portion of the award.

(d) Non-Federal entity means a State, local government, Indian tribe, institution of higher education, or nonprofit organization that carries out a Federal award as a Recipient or Subrecipient.

(e) Recipient means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term Recipient does not include Subrecipients.

(f) Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program, but does not include an individual who is a beneficiary of such program. A Subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

## **2. Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards**

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

(A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

(B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.

(C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

(E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every

mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

(F) **Rights to Inventions Made Under a Contract or Agreement.** If the Federal award meets the definition of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.

(G) **Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—**Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

(H) **Debarment and Suspension (Executive Orders 12549 and 12689)—**A contract award (see 2 CFR 180.220) must not be made to parties listed on the Governmentwide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

(I) **Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—**Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

(J) See §200.322 Procurement of recovered materials.

### **3. Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters**

#### **A. Reporting of Matters Related to Recipient Integrity and Performance**

##### **1. General Reporting Requirement**

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

## 2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five year period; and
- c. Is one of the following:
  - (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
  - (4) Any other criminal, civil, or administrative proceeding if:
    - (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;
    - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
    - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

## 3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

## 4. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you

have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

**5. Definitions**

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

**4. MINIMUM WAGES UNDER EXECUTIVE ORDER 13658 (January 2015)**

(a) Definitions. As used in this clause—

“United States” means the 50 states and the District of Columbia.

“Worker”—

(1) Means any person engaged in performing work on, or in connection with, a contract covered by Executive Order 13658, and

(i) Whose wages under such contract are governed by the Fair Labor Standards Act (29 U.S.C. chapter 8), the Service Contract Labor Standards statute (41 U.S.C. chapter 67), or the Wage Rate Requirements (Construction) statute (40 U.S.C. chapter 31, subchapter IV),

(ii) Other than individuals employed in a bona fide executive, administrative, or professional capacity, as those terms are defined in 29 CFR part 541,

(iii) Regardless of the contractual relationship alleged to exist between the individual and the employer.

(2) Includes workers performing on, or in connection with, the contract whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(c).

(3) Also includes any person working on, or in connection with, the contract and individually registered in a bona fide apprenticeship or training program registered with the Department of Labor's Employment and Training Administration, Office of Apprenticeship, or with a State Apprenticeship Agency recognized by the Office of Apprenticeship.

(b) Executive Order Minimum Wage rate.



(1) The Contractor shall pay to workers, while performing in the United States, and performing on, or in connection with, this contract, a minimum hourly wage rate of \$10.10 per hour beginning January 1, 2015.

(2) The Contractor shall adjust the minimum wage paid, if necessary, beginning January 1, 2016 and annually thereafter, to meet the Secretary of Labor's annual E.O. minimum wage. The Administrator of the Department of Labor's Wage and Hour Division (the Administrator) will publish annual determinations in the Federal Register no later than 90 days before the effective date of the new E.O. minimum wage rate. The Administrator will also publish the applicable E.O. minimum wage on [www.wdol.gov](http://www.wdol.gov) (or any successor Web site) and on all wage determinations issued under the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute. The applicable published E.O. minimum wage is incorporated by reference into this contract.

(3) (i) The Contractor may request a price adjustment only after the effective date of the new annual E.O. minimum wage determination. Prices will be adjusted only if labor costs increase as a result of an increase in the annual E.O. minimum wage, and for associated labor costs and relevant subcontract costs. Associated labor costs shall include increases or decreases that result from changes in social security and unemployment taxes and workers' compensation insurance, but will not otherwise include any amount for general and administrative costs, overhead, or profit.

(ii) Subcontractors may be entitled to adjustments due to the new minimum wage, pursuant to paragraph (b)(2). Contractors shall consider any subcontractor requests for such price adjustment.

(iii) The Contracting Officer will not adjust the contract price under this clause for any costs other than those identified in paragraph (b)(3)(i) of this clause, and will not provide duplicate price adjustments with any price adjustment under clauses implementing the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute.

(4) The Contractor warrants that the prices in this contract do not include allowance for any contingency to cover increased costs for which adjustment is provided under this clause.

(5) A pay period under this clause may not be longer than semi-monthly, but may be shorter to comply with any applicable law or other requirement under this contract establishing a shorter pay period. Workers shall be paid no later than one pay period following the end of the regular pay period in which such wages were earned or accrued.

(6) The Contractor shall pay, unconditionally to each worker, all wages due free and clear without subsequent rebate or kickback. The Contractor may make deductions that reduce a worker's wages below the E.O. minimum wage rate only if done in accordance with 29 CFR 10.23, Deductions.

(7) The Contractor shall not discharge any part of its minimum wage obligation under this clause by furnishing fringe benefits or, with respect to workers whose wages are governed by the Service Contract Labor Standards statute, the cash equivalent thereof.

(8) Nothing in this clause shall excuse the Contractor from compliance with any applicable Federal or State prevailing wage law or any applicable law or municipal ordinance establishing a minimum wage higher than the E.O. minimum wage. However, wage increases under such other laws or municipal ordinances are not subject to price adjustment under this subpart.

(9) The Contractor shall pay the E.O. minimum wage rate whenever it is higher than any applicable collective bargaining agreement(s) wage rate.

(10) The Contractor shall follow the policies and procedures in 29 CFR 10.24(b) and 10.28 for treatment of workers engaged in an occupation in which they customarily and regularly receive more than \$30 a month in tips.

(c) (1) This clause applies to workers as defined in paragraph (a). As provided in that definition—

(i) Workers are covered regardless of the contractual relationship alleged to exist between the contractor or subcontractor and the worker;

(ii) Workers with disabilities whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(c) are covered; and

(iii) Workers who are registered in a bona fide apprenticeship program or training program registered with the Department of Labor's Employment and Training Administration, Office of Apprenticeship, or with a State Apprenticeship Agency recognized by the Office of Apprenticeship, are covered.

(2) This clause does not apply to—

(i) Fair Labor Standards Act (FLSA)-covered individuals performing in connection with contracts covered by the E.O., i.e. those individuals who perform duties necessary to the performance of the contract, but who are not directly engaged in performing the specific work called for by the contract, and who spend less than 20 percent of their hours worked in a particular workweek performing in connection with such contracts;

(ii) Individuals exempted from the minimum wage requirements of the FLSA under 29 U.S.C. 213(a) and 214(a) and (b), unless otherwise covered by the Service Contract Labor Standards statute, or the Wage Rate Requirements (Construction) statute. These individuals include but are not limited to—

(a) Learners, apprentices, or messengers whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(a).

(b) Students whose wages are calculated pursuant to special certificates issued under 29 U.S.C. 214(b).

(c) Those employed in a bona fide executive, administrative, or professional capacity (29 U.S.C. 213(a)(1) and 29 CFR part 541).

(d) Notice. The Contractor shall notify all workers performing work on, or in connection with, this contract of the applicable E.O. minimum wage rate under this clause. With respect to workers covered by the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute, the Contractor may meet this requirement by posting, in a prominent and accessible place at the worksite, the applicable wage determination under those statutes. With respect to workers whose wages are governed by the FLSA, the Contractor shall post notice, utilizing the poster provided by the Administrator, which can be obtained at [www.dol.gov/whd/govcontracts](http://www.dol.gov/whd/govcontracts), in a prominent and accessible place at the worksite. Contractors that customarily post notices to workers electronically may post the notice electronically provided the electronic posting is displayed prominently on any Web site that is maintained by the contractor, whether external or internal, and customarily used for notices to workers about terms and conditions of employment.

(e) Payroll Records.

(1) The Contractor shall make and maintain records, for three years after completion of the work, containing the following information for each worker:

- (i) Name, address, and social security number;
- (ii) The worker's occupation(s) or classification(s);
- (iii) The rate or rates of wages paid;
- (iv) The number of daily and weekly hours worked by each worker;
- (v) Any deductions made; and
- (vi) Total wages paid.

(2) The Contractor shall make records pursuant to paragraph (e)(1) of this clause available for inspection and transcription by authorized representatives of the Administrator. The Contractor shall also make such records available upon request of the Contracting Officer.

(3) The Contractor shall make a copy of the contract available, as applicable, for inspection or transcription by authorized representatives of the Administrator.

(4) Failure to comply with this paragraph (e) shall be a violation of 29 CFR 10.26 and this contract. Upon direction of the Administrator or upon the Contracting Officer's own action, payment shall be withheld until such time as the noncompliance is corrected.

(5) Nothing in this clause limits or otherwise modifies the Contractor's payroll and recordkeeping obligations, if any, under the Service Contract Labor Standards statute, the Wage Rate Requirements (Construction) statute, the Fair Labor Standards Act, or any other applicable law.

(f) Access. The Contractor shall permit authorized representatives of the Administrator to conduct investigations, including interviewing workers at the worksite during normal working hours.

(g) Withholding. The Contracting Officer, upon his or her own action or upon written request of the Administrator, will withhold funds or cause funds to be withheld, from the Contractor under this or any other Federal contract with the same Contractor, sufficient to pay workers the full amount of wages required by this clause.

(h) Disputes. Department of Labor has set forth in 29 CFR 10.51, Disputes concerning contractor compliance, the procedures for resolving disputes concerning a contractor's compliance with Department of Labor regulations at 29 CFR part 10. Such disputes shall be resolved in accordance with those procedures and not the Disputes clause of this contract. These disputes include disputes between the Contractor (or any of its subcontractors) and the contracting agency, the Department of Labor, or the workers or their representatives.

(i) Anti-retaliation. The Contractor shall not discharge or in any other manner discriminate against any worker because such worker has filed any complaint or instituted or caused to be instituted any proceeding under or related to compliance with the E.O. or this clause, or has testified or is about to testify in any such proceeding.

(j) Subcontractor compliance. The Contractor is responsible for subcontractor compliance with the requirements of this clause and may be held liable for unpaid wages due subcontractor workers.

**BLM Agreement No. L16AC00302**

Recipient Name: Utah Division of State History  
Project Title: BLM Utah NAGPRA Assistance

**Attachment No. 1**

(Pg. 23 of 23)

(k) Subcontracts. The Contractor shall include the substance of this clause, including this paragraph (k) in all subcontracts, regardless of dollar value, that are subject to the Service Contract Labor Standards statute or the Wage Rate Requirements (Construction) statute, and are to be performed in whole or in part in the United States.

***END OF AGREEMENT***

Rev. 06/22/2016

**UTAH GEOLOGICAL SURVEY  
SERVICES FOR HYDROGEOLOGIC STUDY OF ROUND VALLEY, WASATCH  
COUNTY, UTAH - STATE FY2017**

**Memorandum of Understanding**

Agreement between the Utah Geological Survey and Wasatch County.

The Utah Geological Survey agrees to conduct a hydrogeologic study (including a characterize hydrogeology, measure discharge via surface flow, determine groundwater geochemistry, and estimate recharge from precipitation to the watershed) of Round Valley, Wasatch County, Utah, and prepare a report summarizing the results of the study (see attached proposal). Details of the objectives and approach for this study are in the attached proposal. The total project budget will be \$59,983.26. The Utah Geological Survey will provide a \$29,991.63 in-kind match towards the project in State FY 2017 (see budget in attached proposal). This study will be conducted in State FY 2017 beginning July, 1 2016. A draft report outlining the results of the project is expected to be completed by June 30, 2017. The Utah Geological Survey will bill Wasatch County monthly for work completed on the study. The Utah Geological Survey may later publish the results of the study.

This is the smaller of two proposals that were submitted to Wasatch County by the Utah Geological Survey. Should funding be secured within the next year for the larger, two-year study, a new Memorandum of Understanding will be prepared in lieu of this Memorandum of Understanding.

Wasatch County agrees to pay the Utah Geological Survey \$29,991.63 in Utah State FY 2017 (ending June 30, 2017) for this work.



Rick Allis, Director  
Utah Geological Survey



Kendall Crittenden, County Council Chair  
Wasatch County

Date June 9 2016

Date July 20, 2016

# Grant and Cooperative Agreement

CHOOSE ONE:

- COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER  
L12AC20473

2. SUPPLEMENT NUMBER  
0004

3. EFFECTIVE DATE  
07/14/2016

4. COMPLETION DATE

5. ISSUED TO  
 NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip)  
 NATURAL RESOURCES, UTAH DEPARTMENT OF  
 Attn: ATTN GOVERNMENT POC  
 1594 WEST NORTH TEMPLE, STE 2110  
 SALT LAKE CITY UT 84114-6301

6. ISSUED BY BLM UT-STATE OFC ADM SVCS BR(UT952)  
 Mailing Address: 440 WEST 200 SOUTH, SUITE 500  
 SALT LAKE CITY UT 84101

7. TAXPAYER IDENTIFICATION NO. (TIN)

9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone)

Danny Summers, 801-283-4441

8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.

dannysummers@utah.gov

10. RESEARCH, PROJECT OR PROGRAM TITLE

BLM UT Vegetation Monitoring and Trend Studies on Big Game Ranges in Utah.

11. PURPOSE

Please see Attachment A for details

12. PERIOD OF PERFORMANCE (Approximately)

06/25/2012 through 06/30/2017

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$220,000.00	PREVIOUS	\$220,000.00
THIS ACTION	\$45,000.00	THIS ACTION	\$45,000.00
CASH SHARE	\$0.00	<b>TOTAL</b>	\$265,000.00
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$45,000.00		
<b>TOTAL</b>	\$265,000.00		

14. ACCOUNTING AND APPROPRIATION DATA

See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020098082			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Robin Naeve		801-539-4254	rnaeve@blm.gov
NEGOTIATOR				
ADMINISTRATOR	Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS				

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:

31 USC 6305, Public Law 101-512, Challenge Cost Share Program

17. APPLICABLE STATEMENT(S), IF CHECKED:

- NO CHANGE IS MADE TO EXISTING PROVISIONS  
 FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT

18. APPLICABLE ENCLOSURE(S), IF CHECKED:

- PROVISIONS  SPECIAL CONDITIONS  
 REQUIRED PUBLICATIONS AND REPORTS

UNITED STATES OF AMERICA

COOPERATIVE AGREEMENT RECIPIENT

CONTRACTING/GRANT OFFICER

Melanie Beckstead **MELANIE**

**BECKSTEAD**

DATE

Digitally signed by MELANIE BECKSTEAD

Date: 2016.07.14 11:14:49 -06'00'

AUTHORIZED REPRESENTATIVE

**Financial Mgr.**

Division of Wildlife Resources

DATE

**9/27/16**

**ACTING DIRECTOR**

# Grant and Cooperative Agreement

CHOOSE ONE:  
 COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER: L14AC00084  
 2. SUPPLEMENT NUMBER: 0006  
 3. EFFECTIVE DATE: 09/19/2016  
 4. COMPLETION DATE:

5. ISSUED TO: NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip)  
 NATURAL RESOURCES, UTAH DEPARTMENT OF  
 Attn: ATTN GOVERNMENT POC  
 1594 W NORTH TEMPLE # 2110  
 SALT LAKE CITY UT 84116-3154

6. ISSUED BY: BLM UT-STATE OFC ADM SVCS BR (UT952)  
 Mailing Address: 440 WEST 200 SOUTH, SUITE 500  
 SALT LAKE CITY UT 84101

7. TAXPAYER IDENTIFICATION NO. (TIN):  
 8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.:

9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone)  
 Tyler Thompson, 801-538-4766  
 tylerthompson@utah.gov

10. RESEARCH, PROJECT OR PROGRAM TITLE  
 BLM Utah Statewide Watershed Restoration Initiative

11. PURPOSE  
 See Schedule

12. PERIOD OF PERFORMANCE (Approximately)  
 07/01/2014 through 06/30/2019

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$19,755,429.70	PREVIOUS	\$19,755,429.70
THIS ACTION	\$1,843,397.00	THIS ACTION	\$1,843,397.00
CASH SHARE	\$0.00	<b>TOTAL</b>	\$21,598,826.70
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$516,569.00		
<b>TOTAL</b>	<b>\$21,598,826.70</b>		

14. ACCOUNTING AND APPROPRIATION DATA  
 See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020109605			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Tom Adamson		801-539-4044	tadamson@blm.gov
NEGOTIATOR				
ADMINISTRATOR	Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS				

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
 WATERSHED RESTORATION AND ENHANCEMENT AGREEMENTS (WYDEN AMENDMENT), PL 104-208, Sec 124, as amended

17. APPLICABLE STATEMENT(S), IF CHECKED:  
 NO CHANGE IS MADE TO EXISTING PROVISIONS  
 FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT

18. APPLICABLE ENCLOSURE(S), IF CHECKED:  
 PROVISIONS  SPECIAL CONDITIONS  
 REQUIRED PUBLICATIONS AND REPORTS

UNITED STATES OF AMERICA

COOPERATIVE AGREEMENT RECIPIENT

CONTRACTING/GRANT OFFICER: MARIA GOCHIS  
 Digitally signed by MARIA GOCHIS  
 Date: 2016.09.19 15:55:29 -06'00'

AUTHORIZED REPRESENTATIVE: *[Signature]* DATE: 9/21/16  
 Financial Mgr. Date  
 Division of Wildlife Resources

# Grant and Cooperative Agreement

CHOOSE ONE:

- COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER L14AC00084	2. SUPPLEMENT NUMBER 0005	3. EFFECTIVE DATE 06/29/2016	4. COMPLETION DATE 06/30/2019
---	------------------------------	---------------------------------	----------------------------------

5. ISSUED TO  
 NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip)  
 NATURAL RESOURCES, UTAH DEPARTMENT OF  
 Attn: ATTN GOVERNMENT POC  
 1594 W NORTH TEMPLE # 2110  
 SALT LAKE CITY UT 84116-3154

6. ISSUED BY BLM UT-STATE OFC ADM SVCS BR (UT952)  
 Mailing Address: 440 WEST 200 SOUTH, SUITE 500  
 SALT LAKE CITY UT 84101

7. TAXPAYER IDENTIFICATION NO. (TIN)

9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone)  
 Tyler Thompson, 801-538-4766  
 tylerthompson@utah.gov

8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.

10. RESEARCH, PROJECT OR PROGRAM TITLE  
 BLM Utah Statewide Watershed Restoration Initiative

11. PURPOSE  
 Please see Attachment A for details.

12. PERIOD OF PERFORMANCE (Approximately)  
 07/01/2014 through 06/30/2019

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$13,062,769.32	PREVIOUS	\$13,062,769.32
THIS ACTION	\$6,692,660.38	THIS ACTION	\$6,692,660.38
CASH SHARE	\$0.00	TOTAL	\$19,755,429.70
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$2,402,093.00		
TOTAL	\$19,755,429.70		

14. ACCOUNTING AND APPROPRIATION DATA  
 See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020102172			

15. POINTS OF CONTACT

NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER Tom Adamson		801-539-4044	tadamson@blm.gov
NEGOTIATOR			
ADMINISTRATOR Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS			

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
 WATERSHED RESTORATION AND ENHANCEMENT AGREEMENTS (WYDEN AMENDMENT), PL 104-208, Sec 124, as amended

17. APPLICABLE STATEMENT(S), IF CHECKED:  
 NO CHANGE IS MADE TO EXISTING PROVISIONS  
 FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT

18. APPLICABLE ENCLOSURE(S), IF CHECKED:  
 PROVISIONS  SPECIAL CONDITIONS  
 REQUIRED PUBLICATIONS AND REPORTS

UNITED STATES OF AMERICA

COOPERATIVE AGREEMENT RECIPIENT  
**ACTING DIRECTOR**

CONTRACTING/GRANT OFFICER Maria Gochis <i>Maria Gochis</i>	DATE 6/29/16	AUTHORIZED REPRESENTATIVE <i>Michael S. ...</i>	DATE 7/12/16
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*Financial Mgr. Date*  
 Division of Wildlife Resources



# Grant and Cooperative Agreement

CHOOSE ONE:  
 COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER: L15AC00246  
 2. SUPPLEMENT NUMBER: 0001  
 3. EFFECTIVE DATE: 09/06/2016  
 4. COMPLETION DATE:

5. ISSUED TO  
 NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip)  
 NATURAL RESOURCES, UTAH DEPARTMENT OF  
 Attn: ATTN GOVERNMENT POC  
 1594 W NORTH TEMPLE # 2110  
 SALT LAKE CITY UT 84116-3154

6. ISSUED BY: BLM UT-STATE OFC ADM SVCS BR(UT952)  
 Mailing Address: 440 WEST 200 SOUTH, SUITE 500  
 SALT LAKE CITY UT 84101

7. TAXPAYER IDENTIFICATION NO. (TIN)

9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone)  
 Paul Badame, 801-538-4830

8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.

pbadame@utah.gov

10. RESEARCH, PROJECT OR PROGRAM TITLE  
 BLM UT Aquatic Special Status Species Conservation Project

11. PURPOSE  
 Please see Attachment A for details.

12. PERIOD OF PERFORMANCE (Approximately)  
 09/21/2015 through 09/30/2020

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$40,000.00	PREVIOUS	\$40,000.00
THIS ACTION	\$67,172.77	THIS ACTION	\$67,172.77
CASH SHARE	\$0.00	<b>TOTAL</b>	\$107,172.77
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$10,000.00		
<b>TOTAL</b>	<b>\$107,172.77</b>		

14. ACCOUNTING AND APPROPRIATION DATA  
 See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
See Schedule			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Justin Jimenez		801-539-4073	jjimenez@blm.gov
NEGOTIATOR				
ADMINISTRATOR	Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS				

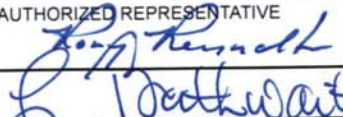
16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
 CCS, 31 USC Sec. 6305 PL 101-512, Title I and Wyden Amendment, 16 USC 1011, PL 104-208, Sec 124, as

17. APPLICABLE STATEMENT(S), IF CHECKED:  
 NO CHANGE IS MADE TO EXISTING PROVISIONS  
 FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT

18. APPLICABLE ENCLOSURE(S), IF CHECKED:  
 PROVISIONS  SPECIAL CONDITIONS  
 REQUIRED PUBLICATIONS AND REPORTS

**UNITED STATES OF AMERICA** **COOPERATIVE AGREEMENT RECIPIENT**

CONTRACTING/GRANT OFFICER  
 Melanie Beckstead  
 Digitally signed by MELANIE BECKSTEAD  
 Date: 2016.09.06 14:54:15 -06'00'

AUTHORIZED REPRESENTATIVE  
  
 Date: 9/12/16

Financial Mgr. Date  
 Division of Wildlife Resources



# United States Department of the Interior

FISH AND WILDLIFE SERVICE

Denver, CO 80225



Nathan Owens, Aquatic Invasive Species Coordinator  
Utah Department of Natural Resources – Utah Division of Wildlife Resources  
1594 W. North Temple; P.O. Box 146301  
Salt Lake City, UT 84114  
DUNS: 178637664

Subject: Notice of Grant Award F16AP00853

Dear Mr. Owens,

Your organization's application for Federal financial assistance titled "Implementation of UT AIS State Plan" submitted to the U.S. Fish and Wildlife Service (Service)'s CFDA Program 15.608 is approved. This award is made under the authority of: Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666. For a complete list of this program's authorizing legislation, go to <https://www.cfda.gov/> and search by the CFDA Program number. This award is made based on Service approval of your organization's proposal signed on June 06, 2016, hereby incorporated by reference into this award. Funds under this award are to be used to help the Recipient to staff and coordinate the goals of the Utah ANS management plan. The funds will help support ANS coordinator and support prevention and control projects.

The performance period of this award begins on the signature date on this letter through September 30, 2020. Only allowable costs resulting from obligations incurred during the performance period may be charged to this award. All obligations incurred under the award must be liquidated no later than 90 calendar days after the end of the performance period, unless the Service approves a final financial reporting period extension (see Reporting Requirements section below). If you need more time to complete project activities, you must submit a written request to the Service Project Officer identified in the Project Contacts section below before the end of the stated performance period (see Project/Program Plan and Budget Revisions section below).

This award is funded as follows:

	<u>Service</u>	<u>Recipient</u>
This obligation:	\$48,895.00	\$2,003,394.00
<b>Award Total:</b>	<b>\$48,895.00</b>	<b>\$2,003,394.00</b>



# United States Department of the Interior

FISH AND WILDLIFE SERVICE  
Washington, DC 20240



In Reply Refer To:  
WSFR/AIM/HQ FA

July 28, 2016

Eric G. Hyatt  
Utah Division of Wildlife Resources  
1594 W. North Temple, Suite 2110  
Salt Lake City, UT 84114-6301

DUNS: 1768376640000

Subject: Notice of Grant Agreement Award F16AP00559

Dear Mr. Hyatt,

Your organization's application for Federal financial assistance titled "*Rockport Reservoir Fish Habitat Improvement*" submitted to the U.S. Fish and Wildlife Service (Service)'s CFDA Program 15.608 is approved. This award is made under the authority of the Fish and Wildlife Conservation Act. This award is made based on Service approval of your organization's proposal signed on June 1, 2016, hereby incorporated by reference into this award. Funds under this award are to be used to install a combination of shoreline log structures and porcupine cribs at varying depths in an effort to improve sport fish habitat. Specifically, funds will be used to cover construction costs including the purchase of boulders and heavy equipment operators to place the boulders.

The performance period of this award begins on the **July 15, 2016 through June 30, 2017**. Only allowable costs resulting from obligations incurred during the performance period may be charged to this award. All obligations incurred under the award must be liquidated no later than 90 calendar days after the end of the performance period, unless the Service approves a final financial reporting period extension (see Reporting Requirements section below). If you need more time to complete project activities, you must submit a written request to the Service Project Officer identified in the Project Contacts section below before the end of the stated performance period (see Project/Program Plan and Budget Revisions section below).

This project is funded as follows:

	<u>Service</u>	<u>Recipient share</u>
This obligation:	\$4,500	\$9,701
<b>Award Total:</b>	<b>\$4,500</b>	<b>\$9,701</b>



# United States Department of the Interior



FISH AND WILDLIFE SERVICE  
Denver, CO 80225

Blair Stringham, Migratory Game Bird Coordinator  
Utah Division of Wildlife Resources  
P.O. Box 146301  
Salt Lake City, UT 84114  
DUNS: 176837664

Subject: Notice of Cooperative Agreement Award F16AC01086

Dear Blair Stringham:

Your organization's application for Federal financial assistance titled "Cinnamon Teal Banding Project" submitted to the U.S. Fish and Wildlife Service (Service)'s CFDA Program 15.655 is approved. This award is made under the authority of: Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; Migratory Bird Treaty Act, 16 U.S.C. 709a.. For a complete list of this program's authorizing legislation, go to <https://www.cfda.gov/> and search by the CFDA Program number. This award is made based on Service approval of your organization's proposal signed on July 6, 2016, hereby incorporated by reference into this award. Funds under this award are to be used to conduct banding operations for Cinnamon Teal. Staff will set up, bait, capture, and band waterfowl from late July through early September. Upon completion of the banding season, staff will provide to USFWS banding data on Cinnamon Teal.

The Service will work closely with personnel from Utah Division of Wildlife Resources to plan the timing and duration of banding operations, placement of waterfowl traps, and the purchasing of bait. The FWS Project Officer will use the banding data for analysis and development from a yearly progress report as well as a final report on the calculation of survival and recovery estimates with better precision.

The performance period of this award begins on July 1, 2016 through October 1, 2018. Only allowable costs resulting from obligations incurred during the performance period may be charged to this award. All obligations incurred under the award must be liquidated no later than 90 calendar days after the end of the performance period, unless the Service approves a final financial reporting period extension (see Reporting Requirements section below). If you need more time to complete project activities, you must submit a written request to the Service Project Officer identified in the Project Contacts section below before the end of the stated performance period (see Project/Program Plan and Budget Revisions section below).

This award is funded as follows:

	<u>Service</u>	<u>Recipient</u>
This obligation:	\$1,250.00	\$0.00
<b>Award Total:</b>	<b>\$1,250.00</b>	<b>\$0.00</b>

# Grant and Cooperative Agreement

CHOOSE ONE:  
 COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER L16AC00273	2. SUPPLEMENT NUMBER	3. EFFECTIVE DATE 09/01/2016	4. COMPLETION DATE
---	----------------------	---------------------------------	--------------------

5. ISSUED TO NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip) NATURAL RESOURCES, UTAH DEPARTMENT OF Attn: ATTN GOVERNMENT POC 1594 W NORTH TEMPLE # 2110 SALT LAKE CITY UT 84116-3154	6. ISSUED BY BLM UT-STATE OFC ADM SVCS BR(UT952) Mailing Address: 440 WEST 200 SOUTH, SUITE 500 SALT LAKE CITY UT 84101
--	---

7. TAXPAYER IDENTIFICATION NO. (TIN)	9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone) Daniel Eddington, (435) 613-3709 danieleddington@utah.gov
8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.	

10. RESEARCH, PROJECT OR PROGRAM TITLE  
BLM Utah Statewide Guzzler Project

11. PURPOSE  
See Schedule

12. PERIOD OF PERFORMANCE (Approximately)  
09/01/2016 through 08/31/2021

13A.	AWARD HISTORY	13B.	FUNDING HISTORY
PREVIOUS	\$0.00	PREVIOUS	\$0.00
THIS ACTION	\$11,630.00	THIS ACTION	\$11,630.00
CASH SHARE	\$0.00	<b>TOTAL</b>	\$11,630.00
NON-CASH SHARE	\$0.00		
RECIPIENT SHARE	\$0.00		
<b>TOTAL</b>	<b>\$11,630.00</b>		

14. ACCOUNTING AND APPROPRIATION DATA  
See Schedule

PURCHASE REQUEST NO.	JOB ORDER NO.	AMOUNT	STATUS
0020100195			

15. POINTS OF CONTACT

	NAME	MAIL STOP	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER	Pam Riddle		(435) 259-2138	priddle@blm.gov
NEGOTIATOR				
ADMINISTRATOR	Melanie Beckstead		(801) 539-4169	mbeckstead@blm.gov
PAYMENTS				

16. THIS AWARD IS MADE UNDER THE AUTHORITY OF:  
FEDERAL LAND POLICY AND MANAGEMENT ACT OF 1976 (FLPMA), 43 USC 1737 (b), Public Law 94-579

17. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING PROVISIONS <input type="checkbox"/> FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT	18. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> PROVISIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS
---	---

UNITED STATES OF AMERICA

CONTRACTING/GRANT OFFICER Melanie Beckstead	<b>MELANIE BECKSTEAD</b>	DATE Digitally signed by MELANIE BECKSTEAD Date: 2016.08.23 08:32:18 -06'00'	19. AUTHORIZED REPRESENTATIVE ACTING DIRECTOR COOPERATIVE AGREEMENT RECIPIENT  Date: 9/13/16
--	--------------------------	---	--

Financial Mgr. Date  
Division of Wildlife Resources

## Michele Pasker

---

**From:** Mr. Jared Thomas Skok  
**Sent:** Wednesday, May 04, 2016 8:13 PM  
**To:** jhbarrett@utah.gov  
**Cc:** mpasker@utah.gov; Brad.C.Shafer@tsocorp.com; jessica.r.vidal@tsocorp.com  
**Subject:** Congratulations! Your Request Has Been Approved

Dear Mr. Barrett:

Tesoro is committed to collaborating with our stakeholders to create cleaner, safer, well-educated communities where we operate. We are proud to support Utah Office of Energy Development.

By way of this email, we are pleased to announce that Tesoro will be a \$10,000.00 sponsor of the 2016 Utah Energy Development Summit. You can expect our check in seven (7) to ten (10) business days.

Brad Shafer, Sr. Manager – Government & Public Affairs, will be coordinating our support of, and participation at, the 2016 Utah Energy Development Summit. If you have any questions, please feel free to contact Brad at (801) 606-2180 or [Brad.C.Shafer@tsocorp.com](mailto:Brad.C.Shafer@tsocorp.com).

Again, we are proud to support Utah Office of Energy Development. Best wishes for a successful event.

Sincerely,  
Tesoro Community Affairs

**U.S. DEPARTMENT OF LABOR  
EMPLOYMENT AND TRAINING  
ADMINISTRATION (DOL/ETA)**

**NOTICE OF  
AWARD (NOA)**

Under the authority of the *Workforce Innovation and Opportunity Act, P.L. 113-28*, this grant or agreement is entered into between the above named *Grantor Agency* and the following named *Awardee*, for a project entitled - **WIOA FORMULA GRANTS.**

**Name & Address of Awardee:**  
Utah Department of Workforce Services  
140 East 300 South  
Salt Lake City, UTAH 84111

**Federal Award Id. No. (FAIN): AA-28346-16-55-A-49**  
**CFDA #: 17.259- WIA Youth Activities**  
**Amount: \$3,711,780.00**  
**EIN: 876000545**  
**DUNS #: 037936759**

**Accounting Code:**

1630-2016-0501741617BD201601740005165YF000A0000AOWI00AOWI00-A90200-410023-ETA-DEFAULT TASK-

The Period of Performance shall be from **April 01, 2016 thru June 30, 2019.**  
Total Government's Financial Obligation is **\$3,711,780.00** (unless other wise amended).

Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.

Effective April 1, 2016, in accordance with Training and Employment Guidance Letter 17-15. PY 2016 WIOA youth allotment funds are governed by all applicable provisions of WIOA and are for preparation and programmatic activities for WIOA youth program implementation on July 1, 2016. CFDA codes indicated above will not change; however references to WIA will be revised in the future to reflect WIOA.

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with all applicable Statute(s), and the following regulations and cost principles, including any subsequent amendments:

**Uniform Administrative Requirements, Cost Principles, and Audit Requirements:**

2 CFR Part 200; Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule 2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200;

**Other Requirements (Included within this NOA):**



Condition(s) of Award (if applicable)  
Federal Award Terms, including attachments

**Contact Information**

The Federal Project Officer (FPO) assigned to this grant is Region 4. Region 4 will serve as your first line point of contact and can be contacted via e-mail - [ro4-ra-dal@dol.gov](mailto:ro4-ra-dal@dol.gov). If your FPO is not available, please call your Regional Office at 972-850-4600 for assistance.

The awardee's signature below certifies full compliance with all terms and conditions as well as all applicable Statutes(s), grant regulations, guidance, and certifications.

Signature of Approving Official - **AWARDEE**

Signature of Approving Official - **DOL / ETA**


**See SF-424 for Signature**  
**No Additional Signature Required**

**LAURA P. WATSON**, April 20, 2016  
Grant Officer







Linetta Moyes <lmoyes@utah.gov>

**To incorporate PY 2016 Adult and Dislocated Worker funds**

**Baca, Dianne - ETA** <Baca.Dianne@dol.gov>  
 To: "Linetta Moyes (lmoyes@utah.gov)" <lmoyes@utah.gov>  
 Cc: "Osarhiemen, Joanne - ETA" <Osarhiemen.Joanne@dol.gov>

Mon, Jul 25, 2016 at 5:02 PM

Hi Lynetta, the below signed NOA was pulled from E-grants today. I will also send the formal NOA once received from the national office:



**Grant Modification / Notice of Award**

**U.S. DEPARTMENT OF LABOR / EMPLOYMENT AND TRAINING ADMINISTRATION**

<b>GRANT MODIFICATION</b>		<b>No. 1</b>	PROJECT: WIA Youth/Adult/Dislocated Workers Formula Combined	
GRANT NUMBER: AA-28346-16-55-A-49	EIN: 876000545	EFFECTIVE DATE: 07/01/2016	PAGE 1	
GRANTEE: Utah Department of Workforce Services 140 East 300 South Salt Lake City, UTAH 84111		ISSUED BY U.S. DEPARTMENT OF LABOR / ETA DIVISION OF FEDERAL ASSISTANCE 200 CONSTITUTION AVENUE NW - ROOM N-4716 WASHINGTON, DC 20210		

**Action:**

- 1.To incorporate PY 2016 Adult and Dislocated Worker funds.
- 2.Grantee's acceptance of this grant award is pursuant to its agreement, in accordance with the Workforce Innovation and Opportunity Act State Plan approval letter, with conditions (State Plan approval letter), issued to Grantee in June 2016, to remedy to the satisfaction of the Departments of Education and Labor the deficiencies identified in Attachment A to the State Plan approval letter. Under the terms of the State Plan approval letter, the Department of Labor

may take enforcement action with respect to this grant award if Grantee fails to make progress in remedying the deficiencies identified in Attachment A to the State Plan approval letter.

3.To incorporate the following Federal Project Officer (FPO) into the grant:

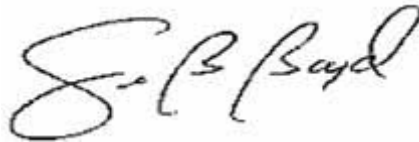
Name: Cynthia Green  
 Phone Number: (972) 850-4619  
 Email: [Green.Cynthia@dol.gov](mailto:Green.Cynthia@dol.gov)

4.To amend the appropriation references in Section 10 a - I of the grant agreement, from P.L.113-114 to P.L.114-113.

<b>YEAR / CFDA PROGRAM ACCOUNT ID</b>	<b>Mod 0 CURRENT LEVEL</b>	<b>Mod 1 MODIFICATION</b>	<b>NEW LEVEL</b>	<b>PMS DOC #</b>
PY 16 / 17.259 WIOA YOUTH FORMULA GRANTS - STATES 16-1630-2016-0501741617BD201601740005165YF0 00A0000AOWI00AOWI00-A90200-410023-ETA- DEFAULT TASK-	\$3,711,780.00	\$0.00	\$3,711,780.00	AA283463Q0
PY 16 / 17.258 WIOA ADULT ACTIVITIES - STATES 16-1630-2016-0501741617BD201601740001165AD0 10A0000AOWI00AOWI00-A90200-410023-ETA- DEFAULT TASK-	\$0.00	\$396,882.00	\$396,882.00	AA283463M0
PY 16 / 17.278 WIOA DISLOCATED WORKERS - FORMULA - STATES 16-1630-2016-0501741617BD201601740003165AD0 20A0000AOWI00AOWI00-A90200-410023-ETA- DEFAULT TASK-	\$0.00	\$496,676.00	\$496,676.00	AA283463O0
<b>TOTAL FUND AVAILABILITY</b>	<b>\$3,711,780.00</b>	<b>\$893,558.00</b>	<b>\$4,605,338.00</b>	

Except as modified, all terms and conditions of said grant /agreement remain unchanged and in full effect.

Approved  
by



Date Signed 07/22/2016

SERENA BOYD

**Grant Officer**

Dianne Baca

Budget Analyst

U.S. Department of Labor

Employment and Training Administration

Division of Financial Management & Administrative Services

Region IV – Dallas (972) 850-4670

[baca.dianne@dol.gov](mailto:baca.dianne@dol.gov)



Linetta Moyes <lmoyes@utah.gov>

**To incorporate PY 2016 Adult and Dislocated Worker funds**

**Baca, Dianne - ETA** <Baca.Dianne@dol.gov>  
 To: "Linetta Moyes (lmoyes@utah.gov)" <lmoyes@utah.gov>  
 Cc: "Osarhiemen, Joanne - ETA" <Osarhiemen.Joanne@dol.gov>

Mon, Jul 25, 2016 at 5:02 PM

Hi Lynetta, the below signed NOA was pulled from E-grants today. I will also send the formal NOA once received from the national office:



**Grant Modification / Notice of Award**

**U.S. DEPARTMENT OF LABOR / EMPLOYMENT AND TRAINING ADMINISTRATION**

<b>GRANT MODIFICATION</b>		<b>No. 1</b>	PROJECT: WIA Youth/Adult/Dislocated Workers Formula Combined	
GRANT NUMBER: AA-28346-16-55-A-49	EIN: 876000545	EFFECTIVE DATE: 07/01/2016	PAGE 1	
GRANTEE: Utah Department of Workforce Services 140 East 300 South Salt Lake City, UTAH 84111		ISSUED BY U.S. DEPARTMENT OF LABOR / ETA DIVISION OF FEDERAL ASSISTANCE 200 CONSTITUTION AVENUE NW - ROOM N-4716 WASHINGTON, DC 20210		

**Action:**

- 1.To incorporate PY 2016 Adult and Dislocated Worker funds.
- 2.Grantee's acceptance of this grant award is pursuant to its agreement, in accordance with the Workforce Innovation and Opportunity Act State Plan approval letter, with conditions (State Plan approval letter), issued to Grantee in June 2016, to remedy to the satisfaction of the Departments of Education and Labor the deficiencies identified in Attachment A to the State Plan approval letter. Under the terms of the State Plan approval letter, the Department of Labor

may take enforcement action with respect to this grant award if Grantee fails to make progress in remedying the deficiencies identified in Attachment A to the State Plan approval letter.

3.To incorporate the following Federal Project Officer (FPO) into the grant:

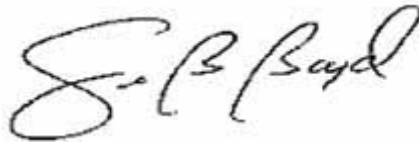
Name: Cynthia Green  
 Phone Number: (972) 850-4619  
 Email: [Green.Cynthia@dol.gov](mailto:Green.Cynthia@dol.gov)

4.To amend the appropriation references in Section 10 a - I of the grant agreement, from P.L.113-114 to P.L.114-113.

<b>YEAR / CFDA PROGRAM ACCOUNT ID</b>	<b>Mod 0 CURRENT LEVEL</b>	<b>Mod 1 MODIFICATION</b>	<b>NEW LEVEL</b>	<b>PMS DOC #</b>
PY 16 / 17.259 WIOA YOUTH FORMULA GRANTS - STATES 16-1630-2016-0501741617BD201601740005165YF0 00A0000AOWI00AOWI00-A90200-410023-ETA- DEFAULT TASK-	\$3,711,780.00	\$0.00	\$3,711,780.00	AA283463Q0
PY 16 / 17.258 WIOA ADULT ACTIVITIES - STATES 16-1630-2016-0501741617BD201601740001165AD0 10A0000AOWI00AOWI00-A90200-410023-ETA- DEFAULT TASK-	\$0.00	\$396,882.00	\$396,882.00	AA283463M0
PY 16 / 17.278 WIOA DISLOCATED WORKERS - FORMULA - STATES 16-1630-2016-0501741617BD201601740003165AD0 20A0000AOWI00AOWI00-A90200-410023-ETA- DEFAULT TASK-	\$0.00	\$496,676.00	\$496,676.00	AA283463O0
<b>TOTAL FUND AVAILABILITY</b>	<b>\$3,711,780.00</b>	<b>\$893,558.00</b>	<b>\$4,605,338.00</b>	

Except as modified, all terms and conditions of said grant /agreement remain unchanged and in full effect.

Approved  
by



Date Signed 07/22/2016

SERENA BOYD

**Grant Officer**

Dianne Baca

Budget Analyst

U.S. Department of Labor

Employment and Training Administration

Division of Financial Management & Administrative Services

Region IV – Dallas (972) 850-4670

[baca.dianne@dol.gov](mailto:baca.dianne@dol.gov)

**U.S. DEPARTMENT OF LABOR  
EMPLOYMENT AND TRAINING  
ADMINISTRATION (DOL/ETA)**

**NOTICE OF  
AWARD (NOA)**

Under the authority of the **Wagner-Peyser**, this grant or agreement is entered into between the above named **Grantor Agency** and the following named **Awardee**, for a project entitled - **Employment Services / Wagner Peyser**.

**Name & Address of Awardee:**  
Utah Department of Workforce Services  
140 East 300 South  
Salt Lake City, UTAH 84111

**Federal Award Id. No. (FAIN): ES-29441-16-55-A-49**  
**CFDA #: 17.207- Employment Service / Wagner-Peyser**  
**Funded Activities**  
**Amount: \$6,299,178.00**  
**EIN: 876000545**  
**DUNS #: 037936759**

**Accounting Code:**

1630-2016-0501791617BD201601790010165ES003A0000AOWI00AOWI00-A90200-410010-ETA-DEFAULT TASK-

The Period of Performance shall be from **July 01, 2016 thru September 30, 2019**.  
Total Government's Financial Obligation is **\$6,299,178.00** (unless other wise amended).

Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with all applicable Statute(s), and the following regulations and cost principles, including any subsequent amendments:

**Uniform Administrative Requirements, Cost Principles, and Audit Requirements:**

2 CFR Part 200; Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule 2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200;

**Other Requirements (Included within this NOA):**

Condition(s) of Award (if applicable)  
Federal Award Terms, including attachments


**Contact Information**

The Federal Project Officer (FPO) assigned to this grant is Cynthia Green. Cynthia Green will serve as your first line point of contact and can be contacted via e-mail - [green.cynthia@dol.gov](mailto:green.cynthia@dol.gov). If your FPO is not available, please call your Regional Office at 972-850-4600 for assistance.

The awardee's signature below certifies full compliance with all terms and conditions as well as all applicable Statutes(s), grant regulations, guidance, and certifications.

Signature of Approving Official - **AWARDEE**

Signature of Approving Official - **DOL / ETA**

**See SF-424 for Signature**  
**No Additional Signature Required**

**SERENA BOYD**, July 12, 2016  
Grant Officer





**Grant Modification / Notice of Award**

**U.S. DEPARTMENT OF LABOR / EMPLOYMENT AND TRAINING ADMINISTRATION**

<b>GRANT MODIFICATION</b>		<b>No. 1</b>	<b>PROJECT:</b> Employment Services	
<b>GRANT NUMBER:</b> ES-29441-16-55-A-49	<b>EIN:</b> 876000545	<b>EFFECTIVE DATE:</b> 07/01/2016	<b>PAGE 1</b>	
<b>GRANTEE:</b> Utah Department of Workforce Services 140 East 300 South Salt Lake City, UTAH 84111		<b>ISSUED BY</b> U.S. DEPARTMENT OF LABOR / ETA DIVISION OF FEDERAL ASSISTANCE 200 CONSTITUTION AVENUE NW - ROOM N-4716 WASHINGTON, DC 20210		

**Action:**

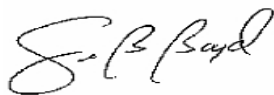
To incorporate PY 2016 funding for the Workforce Information Grant (WIG) in accordance with Training and Employment Guidance Letter (TEGL) No. 17-15.

All expenditures must be in accordance with Training and Employment Guidance Letter (TEGL) No. 1-16 and the Wagner-Peyser Act Annual Funding grant agreement

<b>YEAR / CFDA PROGRAM ACCOUNT ID</b>	<b>Mod 0 CURRENT LEVEL</b>	<b>Mod 1 MODIFICATION</b>	<b>NEW LEVEL</b>	<b>PMS DOC #</b>
PY 16 / 17.207 EMPLOYMENT SERVICE STATE ALLOTMENTS - STATES <small>16-1630-2016-0501791617BD201601790010165ES003A0000AOWI00AOWI00-A90200-410010-ETA-DEFAULT TASK-</small>	\$6,299,178.00	\$0.00	\$6,299,178.00	ES294414G0
PY 16 / 17.207 ONE-STOP - WORKFORCE INFO GRANTS <small>16-1630-2016-0501791617BD201601790012165OS005A0000AOWI00AOWI00-A90200-410010-ETA-DEFAULT TASK-</small>	\$0.00	\$420,937.00	\$420,937.00	ES294414K0
<b>TOTAL FUND AVAILABILITY</b>	<b>\$6,299,178.00</b>	<b>\$420,937.00</b>	<b>\$6,720,115.00</b>	

Except as modified, all terms and conditions of said grant /agreement remain unchanged and in full effect.

Approved  
by

  
**SERENA BOYD**

**Date Signed**     08/12/2016

**Grant Officer**

U.S. DEPARTMENT OF LABOR EMPLOYMENT AND TRAINING ADMINISTRATION (DOL/ETA)	NOTICE OF AWARD (NOA)
Under the authority of the <i>Wagner-Peyser</i> , this grant or agreement is entered into between the above named <i>Grantor Agency</i> and the following named <i>Awardee</i> , for a project entitled - <i>Foreign Labor Certification</i> .	

Name & Address of Awardee:  
Utah Department of Workforce Services  
140 East 300 South  
Salt Lake City, UTAH 84111

Federal Award Id. No. (FAIN): FL-29117-16-55-A-49  
CFDA #: 17.273- Temporary Labor Certification for  
Foreign Workers  
Amount: \$116,590.00  
EIN: 876000545  
DUNS #: 037936759

Accounting Code: 1630-2016-0501791616BD201601790011165ES050A0000AOFLC0AOFLC0-A90230-410010—

The Period of Performance shall be from October 01, 2015 thru September 30, 2018.  
Total Government's Financial Obligation is \$116,590.00 (unless otherwise amended).

Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.

FY 2016 Foreign Labor Certification (FLC) allocation in accordance with the approved State plan and TEG L 15-15.  
NOTE: FY 2016 FLC expenditures are effective 10/01/2015.

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with all applicable Statute(s), and the following regulations and cost principles, including any subsequent amendments:

**Uniform Administrative Requirements, Cost Principles, and Audit Requirements:**

2 CFR Part 200; Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule  
2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200;

**Other Requirements (Included within this NOA):**

Condition(s) of Award (if applicable)  
Federal Award Terms, including attachments

**Contact Information**

The Federal Project Officer (FPO) assigned to this grant is Valerie Massey. Valerie Massey will serve as your first line point of contact and can be contacted via e-mail - [massey.valerie@dol.gov](mailto:massey.valerie@dol.gov). If your FPO is not available, please call your Regional Office at 972-850-4600 for assistance.

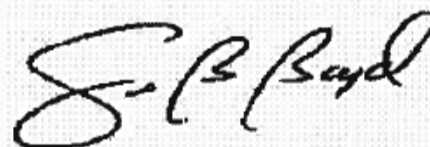
The awardee's signature below certifies full compliance with all terms and conditions as well as all applicable Statues(s), grant regulations, guidance, and certifications.

Signature of Approving Official - **AWARDEE**

Signature of Approving Official - **DOL / ETA**

See SF-424 for Signature

No Additional Signature Required



SERENA BOYD, July 20, 2016  
Grant Officer



**U.S. Department of Justice**

Office of Justice Programs

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Office of the Assistant Attorney General

*Washington, D.C. 20531*

September 20, 2016

Ms. Shari Watkins  
Utah Department of Health  
P.O. Box 142106  
Salt Lake City, UT 84414

Dear Ms. Watkins:

On behalf of Attorney General Loretta Lynch, it is my pleasure to inform you that the Office of Justice Programs has approved your application for funding under the FY 16 Harold Rogers Prescription Drug Monitoring Program: Data-Driven Responses to Prescription Drug Abuse in the amount of \$600,000 for Utah Department of Health.

Enclosed you will find the Grant Award and Special Conditions documents. This award is subject to all administrative and financial requirements, including the timely submission of all financial and programmatic reports, resolution of all interim audit findings, and the maintenance of a minimum level of cash-on-hand. Should you not adhere to these requirements, you will be in violation of the terms of this agreement and the award will be subject to termination for cause or other administrative action as appropriate.

If you have questions regarding this award, please contact:

- Program Questions, Wendy Williams, Program Manager at (202) 514-7842; and
- Financial Questions, the Office of the Chief Financial Officer, Customer Service Center (CSC) at (800) 458-0786, or you may contact the CSC at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov).

Congratulations, and we look forward to working with you.

Sincerely,

A handwritten signature in black ink that reads "Karol V. Mason".

Karol Virginia Mason  
Assistant Attorney General

Enclosures



## OFFICE FOR CIVIL RIGHTS

Office of Justice Programs

U.S. Department of Justice

810 7th Street, NW  
Washington, DC 20531

Tel: (202) 307-0690

TTY: (202) 307-2027

E-mail: [askOCR@usdoj.gov](mailto:askOCR@usdoj.gov)

Website: [www.ojp.usdoj.gov/ocr](http://www.ojp.usdoj.gov/ocr)

---

September 20, 2016

Ms. Shari Watkins  
Utah Department of Health  
P.O. Box 142106  
Salt Lake City, UT 84414

Dear Ms. Watkins:

Congratulations on your recent award. In establishing financial assistance programs, Congress linked the receipt of federal funding to compliance with federal civil rights laws. The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) is responsible for ensuring that recipients of financial assistance from the OJP, the Office of Community Oriented Policing Services (COPS), and the Office on Violence Against Women (OVW) comply with the applicable federal civil rights laws. We at the OCR are available to help you and your organization meet the civil rights requirements that come with DOJ funding.

### **Ensuring Access to Federally Assisted Programs**

Federal laws that apply to recipients of financial assistance from the DOJ prohibit discrimination on the basis of race, color, national origin, religion, sex, or disability in funded programs or activities, not only in employment but also in the delivery of services or benefits. A federal law also prohibits recipients from discriminating on the basis of age in the delivery of services or benefits.

In March of 2013, President Obama signed the Violence Against Women Reauthorization Act of 2013. The statute amends the Violence Against Women Act of 1994 (VAWA) by including a nondiscrimination grant condition that prohibits discrimination based on actual or perceived race, color, national origin, religion, sex, disability, sexual orientation, or gender identity. The new nondiscrimination grant condition applies to certain programs funded after October 1, 2013. The OCR and the OVW have developed answers to some frequently asked questions about this provision to assist recipients of VAWA funds to understand their obligations. The Frequently Asked Questions are available at <http://ojp.gov/about/ocr/vawafaqs.htm>.

### **Enforcing Civil Rights Laws**

All recipients of federal financial assistance, regardless of the particular funding source, the amount of the grant award, or the number of employees in the workforce, are subject to prohibitions against unlawful discrimination. Accordingly, the OCR investigates recipients that are the subject of discrimination complaints from both individuals and groups. In addition, based on regulatory criteria, the OCR selects a number of recipients each year for compliance reviews, audits that require recipients to submit data showing that they are providing services equitably to all segments of their service population and that their employment practices meet equal opportunity standards.

## **Providing Services to Limited English Proficiency (LEP) Individuals**

In accordance with DOJ guidance pertaining to Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d, recipients of federal financial assistance must take reasonable steps to provide meaningful access to their programs and activities for persons with limited English proficiency (LEP). See U.S. Department of Justice, Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 67 Fed. Reg. 41,455 (2002). For more information on the civil rights responsibilities that recipients have in providing language services to LEP individuals, please see the website <http://www.lep.gov>.

## **Ensuring Equal Treatment for Faith-Based Organizations**

The DOJ regulation, Equal Treatment for Faith-Based Organizations, 28 C.F.R. pt. 38, requires State Administering Agencies (SAAs) to treat faith-based organizations the same as any other applicant or recipient. The regulation prohibits SAAs from making awards or grant administration decisions on the basis of an organization's religious character or affiliation, religious name, or the religious composition of its board of directors.

The regulation also prohibits faith-based organizations from using financial assistance from the DOJ to fund inherently (or explicitly) religious activities. While faith-based organizations can engage in non-funded inherently religious activities, they must hold them separately from the program funded by the DOJ, and recipients cannot compel beneficiaries to participate in them. The Equal Treatment Regulation also makes clear that organizations participating in programs funded by the DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion. For more information on the regulation, please see the OCR's website at [http://www.ojp.usdoj.gov/about/ocr/equal\\_fbo.htm](http://www.ojp.usdoj.gov/about/ocr/equal_fbo.htm).

SAAs and faith-based organizations should also note that the Omnibus Crime Control and Safe Streets Act (Safe Streets Act) of 1968, as amended, 42 U.S.C. § 3789d(c); the Victims of Crime Act of 1984, as amended, 42 U.S.C. § 10604(e); the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, 42 U.S.C. § 5672(b); and VAWA, Pub. L. No. 113-4, sec. 3(b)(4), 127 Stat. 54, 61-62 (to be codified at 42 U.S.C. § 13925(b)(13)) contain prohibitions against discrimination on the basis of religion in employment. Despite these nondiscrimination provisions, the DOJ has concluded that it may construe the Religious Freedom Restoration Act (RFRA) on a case-by-case basis to permit some faith-based organizations to receive DOJ funds while taking into account religion when hiring staff, even if the statute that authorizes the funding program generally forbids recipients from considering religion in employment decisions. Please consult with the OCR if you have any questions about the regulation or the application of RFRA to the statutes that prohibit discrimination in employment.

## **Using Arrest and Conviction Records in Making Employment Decisions**

The OCR issued an advisory document for recipients on the proper use of arrest and conviction records in making hiring decisions. See Advisory for Recipients of Financial Assistance from the U.S. Department of Justice on the U.S. Equal Employment Opportunity Commission's Enforcement Guidance: Consideration of Arrest and Conviction Records in Employment Decisions Under Title VII of the Civil Rights Act of 1964 (June 2013), available at [http://www.ojp.usdoj.gov/about/ocr/pdfs/UseofConviction\\_Advisory.pdf](http://www.ojp.usdoj.gov/about/ocr/pdfs/UseofConviction_Advisory.pdf). Recipients should be mindful that the misuse of arrest or conviction records to screen either applicants for employment or employees for retention or promotion may have a disparate impact based on race or national origin, resulting in unlawful employment discrimination. In light of the Advisory, recipients should consult local counsel in reviewing their employment practices. If warranted, recipients should also incorporate an analysis of the use of arrest and conviction records in their Equal Employment Opportunity Plans (EEOs) (see below).

## **Complying with the Safe Streets Act**

An organization that is a recipient of financial assistance subject to the nondiscrimination provisions of the Safe Streets Act, must meet two obligations: (1) complying with the federal regulation pertaining to the development of an EEO (see 28 C.F.R. pt. 42, subpt. E) and (2) submitting to the OCR findings of discrimination (see 28 C.F.R. §§ 42.204(c), .205(c)(5)).

### **Meeting the EEOP Requirement**

If your organization has less than fifty employees or receives an award of less than \$25,000 or is a nonprofit organization, a medical institution, an educational institution, or an Indian tribe, then it is exempt from the EEOP requirement. To claim the exemption, your organization must complete and submit Section A of the Certification Form, which is available online at <http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf>.

If your organization is a government agency or private business and receives an award of \$25,000 or more, but less than \$500,000, and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare a Utilization Report (formerly called an EEOP Short Form), but it does not have to submit the report to the OCR for review. Instead, your organization has to maintain the Utilization Report on file and make it available for review on request. In addition, your organization has to complete Section B of the Certification Form and return it to the OCR. The Certification Form is available at <http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf>.

If your organization is a government agency or private business and has received an award for \$500,000 or more and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare a Utilization Report (formerly called an EEOP Short Form) and submit it to the OCR for review within sixty days from the date of this letter. For assistance in developing a Utilization Report, please consult the OCR's website at <http://www.ojp.usdoj.gov/about/ocr/eeop.htm>. In addition, your organization has to complete Section C of the Certification Form and return it to the OCR. The Certification Form is available at <http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf>.

To comply with the EEOP requirements, you may request technical assistance from an EEOP specialist at the OCR by telephone at (202) 307-0690, by TTY at (202) 307-2027, or by e-mail at [EEOSubmission@usdoj.gov](mailto:EEOSubmission@usdoj.gov).

### **Meeting the Requirement to Submit Findings of Discrimination**


If in the three years prior to the date of the grant award, your organization has received an adverse finding of discrimination based on race, color, national origin, religion, or sex, after a due-process hearing, from a state or federal court or from a state or federal administrative agency, your organization must send a copy of the finding to the OCR.

### **Ensuring the Compliance of Subrecipients**

SAs must have standard assurances to notify subrecipients of their civil rights obligations, written procedures to address discrimination complaints filed against subrecipients, methods to monitor subrecipients' compliance with civil rights requirements, and a program to train subrecipients on applicable civil rights laws. In addition, SAs must submit to the OCR every three years written Methods of Administration (MOA) that summarize the policies and procedures that they have implemented to ensure the civil rights compliance of subrecipients. For more information on the MOA requirement, see [http://www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

If the OCR can assist you in any way in fulfilling your organization's civil rights responsibilities as a recipient of federal financial assistance, please contact us.

Sincerely,



Michael L. Alston  
Director

cc: Grant Manager  
Financial Analyst



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1. RECIPIENT NAME AND ADDRESS (Including Zip Code) Utah Department of Health P.O. Box 142106 Salt Lake City, UT 84414		4. AWARD NUMBER: 2016-PM-BX-K008	
		5. PROJECT PERIOD: FROM 10/01/2016 TO 09/30/2019 BUDGET PERIOD: FROM 10/01/2016 TO 09/30/2019	
		6. AWARD DATE 09/20/2016	7. ACTION Initial
2a. GRANTEE IRS/VENDOR NO. 876000551	8. SUPPLEMENT NUMBER 00		
2b. GRANTEE DUNS NO. 959347972	9. PREVIOUS AWARD AMOUNT		\$ 0
3. PROJECT TITLE Evaluate and Improve Prescribing Practices	10. AMOUNT OF THIS AWARD		\$ 600,000
	11. TOTAL AWARD		\$ 600,000
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).			
13. STATUTORY AUTHORITY FOR GRANT This project is supported under FY16(BJA - PDMP) Pub. L. No. 114-113, 129 Stat 2242, 2308			
14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number) 16.754 - Harold Rogers Prescription Drug Monitoring Program			
15. METHOD OF PAYMENT GPRS			
[REDACTED] AGENCY APPROVAL [REDACTED]		[REDACTED] GRANTEE ACCEPTANCE [REDACTED]	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Karol Virginia Mason Assistant Attorney General		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Shari Watkins Chief Financial Officer	
17. SIGNATURE OF APPROVING OFFICIAL <i>Karol V. Mason</i>		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL	19A. DATE
[REDACTED] AGENCY USE ONLY [REDACTED]			
20. ACCOUNTING CLASSIFICATION CODES FISCAL YEAR    FUND CODE    BUD. ACT.    DIV. OFC.    DIV. REG.    SUB.    POMS    AMOUNT X            B            PM        80        00        00            600000		21. RPMUGT1286	



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*SPECIAL CONDITIONS*

1. Applicability of Part 200 Uniform Requirements

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 2 C.F.R. Part 200, as adopted and supplemented by the Department of Justice (DOJ) in 2 C.F.R. Part 2800 (together, the "Part 200 Uniform Requirements") apply to this 2016 award from the Office of Justice Programs (OJP).

The Part 200 Uniform Requirements were first adopted by DOJ on December 26, 2014. If this 2016 award supplements funds previously awarded by OJP under the same award number (e.g., funds awarded in 2014 or earlier years), the Part 200 Uniform Requirements apply with respect to all funds under that award number (regardless of the award date, and regardless of whether derived from the initial award or a supplemental award) that are obligated on or after the acceptance date of this 2016 award.

For more information and resources on the Part 200 Uniform Requirements as they relate to OJP awards and subawards ("subgrants"), see the Office of Justice Programs (OJP) website at <http://ojp.gov/funding/Part200UniformRequirements.htm>.

In the event that an award-related question arises from documents or other materials prepared or distributed by OJP that may appear to conflict with, or differ in some way from, the provisions of the Part 200 Uniform Requirements, the recipient is to contact OJP promptly for clarification.

2. Compliance with DOJ Grants Financial Guide

The recipient agrees to comply with the Department of Justice Grants Financial Guide as posted on the OJP website (currently, the "2015 DOJ Grants Financial Guide"), including any updated version that may be posted during the period of performance.

3. Required training for Point of Contact and all Financial Points of Contact

Both the Point of Contact (POC) and all Financial Points of Contact (FPOCs) for this award must have successfully completed an "OJP financial management and grant administration training" by 120 days after the date of the recipient's acceptance of the award. Successful completion of such a training on or after January 1, 2015, will satisfy this condition.

In the event that either the POC or an FPOC for this award changes during the period of performance, the new POC or FPOC must have successfully completed an "OJP financial management and grant administration training" by 120 calendar days after -- (1) the date of OJP's approval of the "Change Grantee Contact" GAN (in the case of a new POC), or (2) the date the POC enters information on the new FPOC in GMS (in the case of a new FPOC). Successful completion of such a training on or after January 1, 2015, will satisfy this condition.

A list of OJP trainings that OJP will consider "OJP financial management and grant administration training" for purposes of this condition is available at <http://www.ojp.gov/training/fmts.htm>. All trainings that satisfy this condition include a session on grant fraud prevention and detection

The recipient should anticipate that OJP will immediately withhold ("freeze") award funds if the recipient fails to comply with this condition. The recipient's failure to comply also may lead OJP to impose additional appropriate conditions on this award.





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4. Requirements related to "de minimis" indirect cost rate

A recipient that is eligible under the Part 200 Uniform Requirements and other applicable law to use the "de minimis" indirect cost rate described in 2 C.F.R. 200.414(f), and that elects to use the "de minimis" indirect cost rate, must advise OJP in writing of both its eligibility and its election, and must comply with all associated requirements in the Part 200 Uniform Requirements. The "de minimis" rate may be applied only to modified total direct costs (MTDC) as defined by the Part 200 Uniform Requirements.

5. Requirement to report potentially duplicative funding

If the recipient currently has other active awards of federal funds, or if the recipient receives any other award of federal funds during the period of performance for this award, the recipient promptly must determine whether funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items for which funds are provided under this award. If so, the recipient must promptly notify the DOJ awarding agency (OJP or OVW, as appropriate) in writing of the potential duplication, and, if so requested by DOJ awarding agency, must seek a budget-modification or change-of-project-scope grant adjustment notice (GAN) to eliminate any inappropriate duplication of funding.

6. Requirements related to System for Award Management and Unique Entity Identifiers

The recipient must comply with applicable requirements regarding the System for Award Management (SAM), currently accessible at <http://www.sam.gov>. This includes applicable requirements regarding registration with SAM, as well as maintaining the currency of information in SAM.

The recipient also must comply with applicable restrictions on subawards ("subgrants") to first-tier subrecipients (first-tier "subgrantees"), including restrictions on subawards to entities that do not acquire and provide (to the recipient) the unique entity identifier required for SAM registration.

The details of the recipient's obligations related to SAM and to unique entity identifiers are posted on the OJP web site at <http://ojp.gov/funding/Explore/SAM.htm> (Award condition: System for Award Management (SAM) and Universal Identifier Requirements), and are incorporated by reference here.

This special condition does not apply to an award to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).

7. All subawards ("subgrants") must have specific federal authorization

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements for authorization of any subaward. This condition applies to agreements that -- for purposes of federal grants administrative requirements -- OJP considers a "subaward" (and therefore does not consider a procurement "contract").

The details of the requirement for authorization of any subaward are posted on the OJP web site at <http://ojp.gov/funding/Explore/SubawardAuthorization.htm> (Award condition: Award Condition: All subawards ("subgrants") must have specific federal authorization), and are incorporated by reference here.



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8. Specific post-award approval required to use a noncompetitive approach in any procurement contract that would exceed \$150,000

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements to obtain specific advance approval to use a noncompetitive approach in any procurement contract that would exceed the Simplified Acquisition Threshold (currently, \$150,000). This condition applies to agreements that -- for purposes of federal grants administrative requirements -- OJP considers a procurement "contract" (and therefore does not consider a subaward).

The details of the requirement for advance approval to use a noncompetitive approach in a procurement contract under an OJP award are posted on the OJP web site at <http://ojp.gov/funding/Explore/NoncompetitiveProcurement.htm> (Award condition: Specific post-award approval required to use a noncompetitive approach in a procurement contract (if contract would exceed \$150,000)), and are incorporated by reference here.

9. Requirements pertaining to prohibited conduct related to trafficking in persons (including reporting requirements and OJP authority to terminate award)

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements (including requirements to report allegations) pertaining to prohibited conduct related to the trafficking of persons, whether on the part of recipients, subrecipients ("subgrantees"), or individuals defined (for purposes of this condition) as "employees" of the recipient or of any subrecipient.

The details of the recipient's obligations related to prohibited conduct related to trafficking in persons are posted on the OJP web site at <http://ojp.gov/funding/Explore/ProhibitedConduct-Trafficking.htm> (Award condition: Prohibited conduct by recipients and subrecipients related to trafficking in persons (including reporting requirements and OJP authority to terminate award)), and are incorporated by reference here.

10. Compliance with applicable rules regarding approval, planning, and reporting of conferences, meetings, trainings, and other events

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable laws, regulations, policies, and official DOJ guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences (as that term is defined by DOJ), including the provision of food and/or beverages at such conferences, and costs of attendance at such conferences.

Information on the pertinent DOJ definition of conferences and the rules applicable to this award appears in the DOJ Grants Financial Guide (currently, as section 3.10 of "Postaward Requirements" in the "2015 DOJ Grants Financial Guide").

11. Requirement for data on performance and effectiveness under the award

The recipient must collect and maintain data that measure the performance and effectiveness of activities under this award. The data must be provided to OJP in the manner (including within the timeframes) specified by OJP in the program solicitation or other applicable written guidance. Data collection supports compliance with the Government Performance and Results Act (GPRA) and the GPRA Modernization Act, and other applicable laws.

12. OJP Training Guiding Principles

Any training or training materials that the recipient -- or any subrecipient ("subgrantee") at any tier -- develops or delivers with OJP award funds must adhere to the OJP Training Guiding Principles for Grantees and Subgrantees, available at <http://ojp.gov/funding/ojptrainingguidingprinciples.htm>.



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13. Effect of failure to address audit issues

The recipient understands and agrees that the DOJ awarding agency (OJP or OVW, as appropriate) may withhold award funds, or may impose other related requirements, if (as determined by the DOJ awarding agency) the recipient does not satisfactorily and promptly address outstanding issues from audits required by the Part 200 Uniform Requirements (or by the terms of this award), or other outstanding issues that arise in connection with audits, investigations, or reviews of DOJ awards.

14. The recipient agrees to comply with any additional requirements that may be imposed by the DOJ awarding agency (OJP or OVW, as appropriate) during the period of performance for this award, if the recipient is designated as "high-risk" for purposes of the DOJ high-risk grantee list.

15. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 42

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 42, specifically including any applicable requirements in Subpart E of 28 C.F.R. Part 42 that relate to an equal employment opportunity program.

16. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 38

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 38, specifically including any applicable requirements regarding written notice to program beneficiaries and prospective program beneficiaries. Part 38 of 28 C.F.R., a DOJ regulation, was amended effective May 4, 2016.

Among other things, 28 C.F.R. Part 38 includes rules that prohibit specific forms of discrimination on the basis of religion, a religious belief, a refusal to hold a religious belief, or refusal to attend or participate in a religious practice. Part 38 also sets out rules and requirements that pertain to recipient and subrecipient ("subgrantee") organizations that engage in or conduct explicitly religious activities, as well as rules and requirements that pertain to recipients and subrecipients that are faith-based or religious organizations.

The text of the regulation, now entitled "Partnerships with Faith-Based and Other Neighborhood Organizations," is available via the Electronic Code of Federal Regulations (currently accessible at <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>), by browsing to Title 28-Judicial Administration, Chapter 1, Part 38, under e-CFR "current" data.

17. Restrictions on "lobbying"

Federal funds may not be used by the recipient, or any subrecipient ("subgrantee") at any tier, either directly or indirectly, to support or oppose the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government.

Should any question arise as to whether a particular use of Federal funds by a recipient (or subrecipient) would or might fall within the scope of this prohibition, the recipient is to contact OJP for guidance, and may not proceed without the express prior written approval of OJP.



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18. Compliance with general appropriations-law restrictions on the use of federal funds (FY 2016)

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable restrictions on the use of federal funds set out in federal appropriations statutes. Pertinent restrictions, including from various "general provisions" in the Consolidated Appropriations Act, 2016, are set out at <http://ojp.gov/funding/Explore/FY2016-AppropriationsLawRestrictions.htm>, and are incorporated by reference here.

Should a question arise as to whether a particular use of federal funds by a recipient (or a subrecipient) would or might fall within the scope of an appropriations-law restriction, the recipient is to contact OJP for guidance, and may not proceed without the express prior written approval of OJP.

19. Reporting Potential Fraud, Waste, and Abuse, and Similar Misconduct

The recipient and any subrecipients ("subgrantees") must promptly refer to the DOJ Office of the Inspector General (OIG) any credible evidence that a principal, employee, agent, subrecipient, contractor, subcontractor, or other person has, in connection with funds under this award -- (1) submitted a claim that violates the False Claims Act; or (2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct.

Potential fraud, waste, abuse, or misconduct involving or relating to funds under this award should be reported to the OIG by-- (1) mail directed to: Office of the Inspector General, U.S. Department of Justice, Investigations Division, 950 Pennsylvania Avenue, N.W. Room 4706, Washington, DC 20530; (2) e-mail to: [oig.hotline@usdoj.gov](mailto:oig.hotline@usdoj.gov); and/or (3) the DOJ OIG hotline: (contact information in English and Spanish) at (800) 869-4499 (phone) or (202) 616-9881 (fax).

Additional information is available from the DOJ OIG website at <http://www.usdoj.gov/oig>.



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20. Restrictions and certifications regarding non-disclosure agreements and related matters

No recipient or subrecipient ("subgrantee") under this award, or entity that receives a procurement contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts, or purports to prohibit or restrict, the reporting (in accordance with law) of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information.

The foregoing is not intended, and shall not be understood by the agency making this award, to contravene requirements applicable to Standard Form 312 (which relates to classified information), Form 4414 (which relates to sensitive compartmented information), or any other form issued by a federal department or agency governing the nondisclosure of classified information.

1. In accepting this award, the recipient--

a. represents that it neither requires nor has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

b. certifies that, if it learns or is notified that it is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

2. If the recipient does or is authorized under this award to make subawards ("subgrants"), procurement contracts, or both--

a. it represents that--

(1) it has determined that no other entity that the recipient's application proposes may or will receive award funds (whether through a subaward ("subgrant"), procurement contract, or subcontract under a procurement contract) either requires or has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

(2) it has made appropriate inquiry, or otherwise has an adequate factual basis, to support this representation; and

b. it certifies that, if it learns or is notified that any subrecipient, contractor, or subcontractor entity that receives funds under this award is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds to or by that entity, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.



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21. Compliance with 41 U.S.C. 4712 (including prohibitions on reprisal; notice to employees)

The recipient must comply with, and is subject to, all applicable provisions of 41 U.S.C. 4712, including all applicable provisions that prohibit, under specified circumstances, discrimination against an employee as reprisal for the employee's disclosure of information related to gross mismanagement of a federal grant, a gross waste of federal funds, an abuse of authority relating to a federal grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal grant.

The recipient also must inform its employees, in writing (and in the predominant native language of the workforce), of employee rights and remedies under 41 U.S.C. 4712.

Should a question arise as to the applicability of the provisions of 41 U.S.C. 4712 to this award, the recipient is to contact the DOJ awarding agency (OJP or OVW, as appropriate) for guidance.

22. Encouragement of policies to ban text messaging while driving

Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," 74 Fed. Reg. 51225 (October 1, 2009), DOJ encourages recipients and subrecipients ("subgrantees") to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this award, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.

23. Approval of this award does not indicate approval of any consultant rate in excess of \$650 per day. A detailed justification must be submitted to and approved by the Office of Justice Programs (OJP) program office prior to obligation or expenditure of such funds.

24. The recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.

25. Recipient integrity and performance matters: Requirement to report information on certain civil, criminal, and administrative proceedings to SAM and FAPIIS

The recipient must comply with any and all applicable requirements regarding reporting of information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either this OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Under certain circumstances, recipients of OJP awards are required to report information about such proceedings, through the federal System for Award Management (known as "SAM"), to the designated federal integrity and performance system (currently, "FAPIIS").

The details of recipient obligations regarding the required reporting (and updating) of information on certain civil, criminal, and administrative proceedings to the federal designated integrity and performance system (currently, "FAPIIS") within SAM are posted on the OJP web site at <http://ojp.gov/funding/FAPIIS.htm> (Award condition: Recipient Integrity and Performance Matters, including Recipient Reporting to FAPIIS), and are incorporated by reference here.



U.S. Department of Justice  
Office of Justice Programs  
**Bureau of Justice Assistance**

**AWARD CONTINUATION  
SHEET**  
**Cooperative Agreement**

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PROJECT NUMBER 2016-PM-BX-K008

AWARD DATE 09/20/2016

*SPECIAL CONDITIONS*

26. In order to promote information sharing and enable interoperability among disparate systems across the justice and public safety community, OJP requires the grantee to comply with DOJ's Global Justice Information Sharing Initiative (DOJ's Global) guidelines and recommendations for this particular grant. Grantee shall conform to the Global Standards Package (GSP) and all constituent elements, where applicable, as described at: [http://www.it.ojp.gov/gsp\\_grantcondition](http://www.it.ojp.gov/gsp_grantcondition). Grantee shall document planned approaches to information sharing and describe compliance to the GSP and appropriate privacy policy that protects shared information, or provide detailed justification for why an alternative approach is recommended.
27. The recipient understands and agrees that award funds may not be used for any interstate data sharing system that has not been verified by BJA to be compliant with the PMIX architecture and specifications.
28. The award recipient agrees to participate in a data collection process measuring program outputs and outcomes. The data elements for this process will be outlined by the Office of Justice Programs.
29. To avoid duplicating existing networks or IT systems in any initiatives funded by BJA for law enforcement information sharing systems which involve interstate connectivity between jurisdictions, such systems shall employ, to the extent possible, existing networks as the communication backbone to achieve interstate connectivity, unless the grantee can demonstrate to the satisfaction of BJA that this requirement would not be cost effective or would impair the functionality of an existing or proposed IT system.
30. Award recipients must verify Point of Contact(POC), Financial Point of Contact (FPOC), and Authorized Representative contact information in GMS, including telephone number and e-mail address. If any information is incorrect or has changed, a Grant Adjustment Notice (GAN) must be submitted via the Grants Management System (GMS) to document changes.
31. The recipient agrees to comply with OJP grant monitoring guidelines, protocols, and procedures, and to cooperate with BJA and OCFO on all grant monitoring requests, including requests related to desk reviews, enhanced programmatic desk reviews, and/or site visits. The recipient agrees to provide to BJA and OCFO all documentation necessary to complete monitoring tasks, including documentation related to any subawards made under this award. Further, the recipient agrees to abide by reasonable deadlines set by BJA and OCFO for providing the requested documents. Failure to cooperate with BJA's/OCFO's grant monitoring activities may result in sanctions affecting the recipient's DOJ awards, including, but not limited to: withholdings and/or other restrictions on the recipient's access to grant funds; referral to the Office of the Inspector General for audit review; designation of the recipient as a DOJ High Risk grantee; or termination of an award(s).
32. The recipient agrees to submit to BJA for review and approval any curricula, training materials, proposed publications, reports, or any other written materials that will be published, including web-based materials and web site content, through funds from this grant at least thirty (30) working days prior to the targeted dissemination date. Any written, visual, or audio publications, with the exception of press releases, whether published at the grantee's or government's expense, shall contain the following statements: "This project was supported by Grant No. 2016-PM-BX-K008 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Department of Justice's Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the SMART Office. Points of view or opinions in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice." The current edition of the DOJ Grants Financial Guide provides guidance on allowable printing and publication activities.



U.S. Department of Justice  
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**Cooperative Agreement**

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PROJECT NUMBER 2016-PM-BX-K008

AWARD DATE 09/20/2016

*SPECIAL CONDITIONS*

33. The recipient acknowledges that the Office of Justice Programs (OJP) reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use (in whole or in part, including in connection with derivative works), for Federal purposes: (1) any work subject to copyright developed under an award or subaward; and (2) any rights of copyright to which a recipient or subrecipient purchases ownership with Federal support.

The recipient acknowledges that OJP has the right to (1) obtain, reproduce, publish, or otherwise use the data first produced under an award or subaward; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes. "Data" includes data as defined in Federal Acquisition Regulation (FAR) provision 52.227-14 (Rights in Data - General).

It is the responsibility of the recipient (and of each subrecipient, if applicable) to ensure that this condition is included in any subaward under this award.

The recipient has the responsibility to obtain from subrecipients, contractors, and subcontractors (if any) all rights and data necessary to fulfill the recipient's obligations to the Government under this award. If a proposed subrecipient, contractor, or subcontractor refuses to accept terms affording the Government such rights, the recipient shall promptly bring such refusal to the attention of the OJP program manager for the award and not proceed with the agreement in question without further authorization from the OJP program office.

34. Recipient understands and agrees that it must submit quarterly Federal Financial Reports (SF-425) and semi-annual performance reports through GMS (<https://grants.ojp.usdoj.gov>), and that it must submit quarterly performance metrics reports through BJA's Performance Measurement Tool (PMT) website ([www.bjaperformancetools.org](http://www.bjaperformancetools.org)). For more detailed information on reporting and other requirements, refer to BJA's website. Failure to submit required reports by established deadlines may result in the freezing of grant funds and High Risk designation.
35. The recipient must comply with applicable requirements to report first-tier subawards ("subgrants") of \$25,000 or more and, in certain circumstances, to report the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients (first-tier "subgrantees") of award funds. The details of recipient obligations, which derive from the Federal Funding Accountability and Transparency Act of 2006 (FFATA), are posted on the OJP web site at <http://ojp.gov/funding/Explore/FFATA.htm> (Award condition: Reporting Subawards and Executive Compensation), and are incorporated by reference here.

This condition, including its reporting requirement, does not apply to an award made to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).

36. Any Web site that is funded in whole or in part under this award must include the following statement on the home page, on all major entry pages (i.e., pages (exclusive of documents) whose primary purpose is to navigate the user to interior content), and on any pages from which a visitor may access or use a Web-based service, including any pages that provide results or outputs from the service: "This Web site is funded in whole or in part through a grant from the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. Neither the U.S. Department of Justice nor any of its components operate, control, are responsible for, or necessarily endorse, this Web site (including, without limitation, its content, technical infrastructure, and policies, and any services or tools provided)." The full text of the foregoing statement must be clearly visible on the home page. On other pages, the statement may be included through a link, entitled "Notice of Federal Funding and Federal Disclaimer," to the full text of the statement.
37. To promote information exchange and coordinate technical assistance, the Bureau of Justice Assistance requires grant recipients to obtain written approval from the BJA State Policy Advisor prior to using Federal grant funds to travel to non-OJP conferences and trainings.





U.S. Department of Justice  
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*SPECIAL CONDITIONS*

38. All program authority and responsibility inherent in the Federal stewardship role shall remain with the Bureau of Justice Assistance (BJA). BJA will work in conjunction with the recipient to routinely review and refine the work plan so that the program's goals and objectives can be effectively accomplished. BJA will monitor the project on a continual basis by maintaining ongoing contact with the recipient and will provide input to the program's direction, in consultation with the recipient, as needed.



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AWARD DATE 09/20/2016

*SPECIAL CONDITIONS*

39. Within 45 calendar days after the end of any conference, meeting, retreat, seminar, symposium, training activity, or similar event funded under this award, and the total cost of which exceeds \$20,000 in award funds, the recipient must provide the program manager with the following information and itemized costs:

- 1) name of event;
- 2) event dates;
- 3) location of event;
- 4) number of federal attendees;
- 5) number of non-federal attendees;
- 6) costs of event space, including rooms for break-out sessions;
- 7) costs of audio visual services;
- 8) other equipment costs (e.g., computer fees, telephone fees);
- 9) costs of printing and distribution;
- 10) costs of meals provided during the event;
- 11) costs of refreshments provided during the event;
- 12) costs of event planner;
- 13) costs of event facilitators; and
- 14) any other costs associated with the event.

The recipient must also itemize and report any of the following attendee (including participants, presenters, speakers) costs that are paid or reimbursed with cooperative agreement funds:

- 1) meals and incidental expenses (M&IE portion of per diem);
- 2) lodging;
- 3) transportation to/from event location (e.g., common carrier, Privately Owned Vehicle (POV)); and,
- 4) local transportation (e.g., rental car, POV) at event location.

Note that if any item is paid for with registration fees, or any other non-award funding, then that portion of the expense does not need to be reported.

Further instructions regarding the submission of this data, and how to determine costs, are available in the OJP Financial Guide Conference Cost Chapter.



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PROJECT NUMBER 2016-PM-BX-K008

AWARD DATE 09/20/2016

*SPECIAL CONDITIONS*

40. With respect to this award, federal funds may not be used to pay cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (An award recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds.)

This limitation on compensation rates allowable under this award may be waived on an individual basis at the discretion of the OJP official indicated in the program announcement under which this award is made.

41. The recipient is authorized to incur obligations, expend, and draw down funds for travel, lodging, and per diem costs only, in an amount not to exceed \$15,000, for the sole purpose of attending a required Bureau of Justice Assistance (BJA) conference associated with this grant award. The grantee is not authorized to incur any additional obligations, or make any additional expenditures or draw downs until BJA and the Office of the Chief Financial Officer (OCFO) has reviewed and approved the recipient's budget and budget narrative, and a Grant Adjustment Notice (GAN) has been issued to remove this Special Condition.

42. The recipient may not obligate, expend, or draw down any award funds until: (1) it has provided to the grant manager for this OJP award information regarding research and evaluation independence and integrity in accordance with the detailed instructions in the program solicitation, (2) OJP has completed its review of the information provided and of any supplemental information it may request, (3) the recipient has made (or agreed to) any adjustments to the award (including as to amount) that OJP may require to prevent, eliminate, mitigate, or otherwise adequately address any actual or apparent personal or financial conflict of interest on the part of the investigators or other staff/consultants engaged in the research/evaluation or organizational conflict of interest on the part of the recipient entity, and (4) a Grant Adjustment Notice has been issued removing this special condition.

The recipient understands and agrees that if it does not provide an adequate research and evaluation independence and integrity submission (as determined by OJP), or if it fails to implement (as determined by OJP) any safeguard included in its submission or required by OJP, a discretionary award will be terminated (without right of appeal), upon thirty (30) calendar days advance written notice by OJP.

43. The recipient is authorized to incur obligations and expend and draw down funds in an amount not to exceed \$100,000, for the sole purpose of developing a PDMP Action Plan. The Action Plan must be submitted no later than 180 days after the start-date of the award. The recipient is not authorized to incur any additional obligations, make any additional expenditures, or draw down any additional funds until BJA has reviewed and approved the grant recipient's completed action plan and has issued a Grant Adjustment Notice (GAN) removing this condition.

44. The recipient may not obligate, expend, or draw down any award funds for indirect costs, unless and until either -- (1) the recipient submits to OJP a current, federally-approved indirect cost rate agreement, or (2) the recipient determines that it is eligible under the Part 200 Uniform Requirements to use the "de minimis" indirect cost rate described in 2 C.F.R. 200.414(f), and advises OJP in writing of both its eligibility and its election.

The financial review of the budget for this award is pending. If the OJP Office of the Chief Financial Officer (OCFO) determines as part of its financial review that the recipient already has submitted the documentation concerning indirect costs described above, this condition will be released through a Grant Adjustment Notice (GAN) upon completion of the OCFO final budget review.

If the OJP OCFO instead determines as part of its financial review that the recipient has not yet submitted the required documentation concerning indirect costs, this condition will not be released until OJP (including its OCFO) receives and reviews a satisfactory submission.



**U.S. Department of Justice**  
Office of Justice Programs  
*Bureau of Justice Assistance*

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Washington, D.C. 20531

**Memorandum To:** Official Grant File  
**From:** Orbin Terry, NEPA, Coordinator  
**Subject:** Categorical Exclusion for Utah Department of Health

Awards under the Harold Rogers Prescription Drug Monitoring Program (PDMP) will be used to focus on data sharing arrangements, data collection, and analysis.

None of the following activities will be conducted whether under the Office of Justice Programs federal action or a related third party action:

- 1) New construction.
- 2) Renovation or remodeling of a property located in an environmentally or historically sensitive area, including property (a) listed on or eligible for listing on the National Register of Historic Places, or (b) located within a 100-year flood plain, a wetland, or habitat for an endangered species.
- (3) A renovation that will change the basic prior use of a facility or significantly change its size.
- (4) Research and technology whose anticipated and future application could be expected to have an effect on the environment.
- (5) Implementation of a program involving the use of chemicals.

Additionally, the proposed action is neither a phase nor a segment of a project which when reviewed in its entirety would not meet the criteria for a categorical exclusion. Consequently, the subject federal action meets the Office of Justice Programs' criteria for a categorical exclusion as contained in paragraph 4(b) of Appendix D to Part 61 of Title 28 of the Code of Federal Regulations.



U.S. Department of Justice  
Office of Justice Programs  
Bureau of Justice Assistance

**GRANT MANAGER'S MEMORANDUM, PT. I:  
PROJECT SUMMARY**  
**Cooperative Agreement**

PROJECT NUMBER  
2016-PM-BX-K008

PAGE 1 OF 1

This project is supported under FY16(BJA - PDMP) Pub. L. No. 114-113, 129 Stat 2242, 2308

1. STAFF CONTACT (Name & telephone number)

Wendy Williams  
(202) 514-7842

2. PROJECT DIRECTOR (Name, address & telephone number)

Anna Fondario  
Epidemiology Manager  
P.O. Box 142106  
Salt Lake City, UT 84414  
(801) 538-6201

3a. TITLE OF THE PROGRAM

BJA FY 16 Harold Rogers Prescription Drug Monitoring Program: Data-Driven Responses to Prescription Drug Abuse

3b. POMS CODE (SEE INSTRUCTIONS ON REVERSE)

4. TITLE OF PROJECT

Evaluate and Improve Prescribing Practices

5. NAME & ADDRESS OF GRANTEE

Utah Department of Health  
P.O. Box 142106  
Salt Lake City, UT 84414

6. NAME & ADDRESS OF SUBGRANTEE

7. PROGRAM PERIOD

FROM: 10/01/2016 TO: 09/30/2019

8. BUDGET PERIOD

FROM: 10/01/2016 TO: 09/30/2019

9. AMOUNT OF AWARD

\$ 600,000

10. DATE OF AWARD

09/20/2016

11. SECOND YEAR'S BUDGET

12. SECOND YEAR'S BUDGET AMOUNT

13. THIRD YEAR'S BUDGET PERIOD

14. THIRD YEAR'S BUDGET AMOUNT

15. SUMMARY DESCRIPTION OF PROJECT (See instruction on reverse)

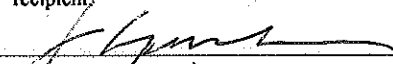
In FY 2016, the Harold Rogers Prescription Drug Monitoring Program (PDMP) will provide funding to state agencies and units of local government located in states with existing and operational prescription drug monitoring programs, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

Funding may be used to form multi-disciplinary action groups consisting of local, state, and federal criminal justice professionals in addition to state and local health authorities as well treatment providers. Action group members may include (but are not limited to): district attorney's office, state or local health department, state medical and pharmacy boards, police and sheriff departments, probation and parole, local drug treatment providers, and community organizations. The action groups will collect data from various sources such as medical examiners, emergency rooms, crime data, and other relevant sources that can help to corroborate PDMP data as well as provide additional information to help pinpoint specific locations within the county that are at-risk for prescription drug abuse

and drug overdose deaths. Grant activities should focus on data sharing arrangements, data collection, and analysis. Project plan should describe the type of strategies to be developed and the areas (e.g., prevention, treatment, regulatory activity, enforcement) in which the action group plans to have impact to address prescription drug abuse rates in a defined jurisdiction(s). It is anticipated that grantees will determine best practices for sharing data, establishing effective policy and regulatory schemes, supporting investigations, treatment intervention, and prevention efforts for at-risk individuals and communities. Data should be used to identify areas at greatest risk for prescription drug abuse and overdose deaths and create data-driven responses at the local or state level to include education, outreach, treatment, and enforcement.

CA/NCF

**UNITED STATES DEPARTMENT OF THE INTERIOR  
BUREAU OF RECLAMATION  
ASSISTANCE AGREEMENT**

1A. AGREEMENT NUMBER <b>R16AC00094</b>		1B. MOD NUMBER <b>N/A</b>		2. TYPE OF AGREEMENT <input type="checkbox"/> GRANT <input checked="" type="checkbox"/> COOPERATIVE AGREEMENT		3. CLASS OF RECIPIENT <b>State Government</b>			
4. ISSUING OFFICE  <b>Bureau of Reclamation Upper Colorado Region 125 South State Street, Room 8100 Salt Lake City, Utah 84138</b>				5. RECIPIENT <b>State Library, Utah 300 Rio Grande Salt Lake City, UT 84101-1106</b>					
				EIN #:		876000545		County: <b>Salt Lake</b>	
				DUNS #:		119839934		Congress. Dist: <b>02</b>	
6. GRANTS MANAGEMENT SPECIALIST <b>Oswald Taylor Bureau of Reclamation 125 South State Street, Room 8100 Salt Lake City, Utah 84138 801-524-3806 otaylor@usbr.gov</b>				7. RECIPIENT PROJECT MANAGER <b>Jim Grover Utah Division of State History 300 S. Rio Grande Salt Lake City, UT 84101 801-245-7207 jimgrover@utah.gov</b>					
8. GRANTS OFFICER TECHNICAL REPRESENTATIVE <b>Bill Chada Bureau of Reclamation 123 South State Street, Room 8100 Salt Lake City, UT 84138 801-425-3684 bchada@usbr.gov</b>				9A. INITIAL AGREEMENT EFFECTIVE DATE: <b>See Block 17a.</b>		9B. MODIFICATION EFFECTIVE DATE: <b>N/A</b>			
				10. COMPLETION DATE <b>September 30, 2021</b>					
11A. PROGRAM STATUTORY AUTHORITY <b>National Historic Preservation Act of 1966, as amended through 2000 (P.L. 102-575)</b>						11B. CFDA Number <b>15.511</b>			
12. FUNDING INFORMATION		<u>RECIPIENT/OTHER</u>		<u>RECLAMATION</u>		13. REQUISITION NUMBER <b>0020094592</b>			
Total Estimated Amount of Agreement		<b>\$0.00</b>		<b>\$25,077.79</b>		14A. ACCOUNTING AND APPROPRIATION DATA <b>16XR0680G2, RX.00660705.1000003 (\$10,077.79)</b>			
This Obligation		<b>\$0.00</b>		<b>\$25,077.79</b>		<b>16XR0680A2, RX.0526202.1000007 (\$10,000.00)</b>			
Previous Obligation		<b>\$0.00</b>		<b>\$0.00</b>		<b>16XR0680A2, RX.00275000.1000003 (\$5,000.00)</b>			
Total Obligation		<b>\$0.00</b>		<b>\$25,077.79</b>		14B. TREASURY ACCOUNT FUNDING SYMBOL <b>16X0680</b>			
Cost-Share %		<b>0%</b>		<b>100%</b>					
15. PROJECT TITLE <b>Automation and Management of Cultural Resource Information between the Bureau of Reclamation, Upper Colorado Region and the State of Utah (SHPO)</b>									
16a. Acceptance of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the above-named recipient.  BY:  DATE: <b>9/14/16</b>				17a. Award of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the United States of America, Department of the Interior, Bureau of Reclamation  BY: _____ DATE: _____					
16b. NAME, TITLE, AND TELEPHONE NUMBER OF SIGNER  <input type="checkbox"/> Additional signatures are attached				17b. NAME OF GRANTS OFFICER <b>Deborah Chorlton</b>					

1. DATE ISSUED MM/DD/YYYY 08/22/2016  
 2. CFDA NO. 93.521  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 42 USC 241 31 USC 6305 42 CFR 52

1a. SUPERSEDES AWARD NOTICE dated 08/05/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 6 NU50CK000372-03-02  
 Formerly 3U50CK000372-02S1  
 5. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY  
 From 03/31/2015 Through 07/31/2019

7. BUDGET PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2017

8. TITLE OF PROJECT (OR PROGRAM)

Utah's proposal for activities within the PPHF 2014 Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) cooperative agreement.

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. MELISSA DIMOND  
 288 N 1460 W  
 PO BOX 144003  
 UTAH DEPT OF HEALTH  
 SALT LAKE CITY, UT 84114-4003

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Janice Downing  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 404-639-7808

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)

I Financial Assistance from the Federal Awarding Agency Only		<b>I</b>
II Total project costs including grant funds and all other financial participation		
a. Salaries and Wages .....	1,491,009.00	
b. Fringe Benefits .....	897,473.00	
c. Total Personnel Costs .....	2,388,482.00	
d. Equipment .....	70,700.00	
e. Supplies .....	254,727.00	
f. Travel .....	62,765.00	
g. Construction .....	0.00	
h. Other .....	191,654.00	
i. Contractual .....	1,139,200.00	
j. TOTAL DIRECT COSTS →	4,107,528.00	
k. INDIRECT COSTS	289,831.00	
<b>l. TOTAL APPROVED BUDGET</b>	<b>4,397,359.00</b>	
m. Federal Share	4,397,359.00	
n. Non-Federal Share	0.00	

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from item 11m)	4,397,359.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	4,397,359.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>0.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>11,247,808.00</b>

14. RECOMMENDED FUTURE SUPPORT  
 (Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4		d. 7	
b. 5		e. 8	
c. 6		f. 9	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
---	----------

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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
  - b. The grant program regulations.
  - c. This award notice including terms and conditions, if any, noted below under REMARKS.
  - d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.
- In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Louvern Asante

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93905GE	b. 000372CK14	c. 93.323	d. CK	e. (\$119,260.00)	f. 75-X-0951
22. a. 6-939ZDKP	b. 000372CK14	c. 93.323	d. CK	e. (\$608,561.00)	f. 75-X-0949
23. a. 6-93906KY	b. 000372CK14	c. 93.323	d. CK	e. (\$735,924.00)	f. 75-X-0949



NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/22/2016
GRANT NO. 6 NU50CK000372-03-02	

FY-ACCOUNT NO.	DOCUMENT NO.	CFDA.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 6-93906C2	b. 000372CK14	c. 93.323	d. CK	e. (\$64,448.00)	f. 75-X-0951
25.a. 6-93905GE	b. 000372ID16	c. 93.521	d. CK	e. \$119,260.00	f. 75-X-0951
26.a. 6-93906C2	b. 000372ID16	c. 93.521	d. CK	e. \$64,448.00	f. 75-X-0951
27.a. 6-93906KY	b. 000372ID16	c. 93.521	d. CK	e. \$735,924.00	f. 75-X-0949
28.a. 6-939ZDKP	b. 000372ID16	c. 93.521	d. CK	e. \$608,561.00	f. 75-X-0949

# AWARD ATTACHMENTS

Utah Department of Health

6 NU50CK000372-03-02

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1. DEOB/REOB TCs

**Funding Opportunity Announcement (FOA) Number: CK14-1401PPHF14**  
**Award Number: U50 CK000372-03 Revision**  
**Award Type: Cooperative Agreement**  
**Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards**

**ADDITIONAL TERMS AND CONDITIONS**

\*\*\*\*\*

**PURPOSE:** The purpose of this revision is to de-obligate funds due to incorrect document number and re-obligated funds to the correct document listed below:

**Grant Document Number: 000372ID16**  
**Subaccount Title: CK14-1401PPHFCCOAG16**

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

1. DATE ISSUED MM/DD/YYYY 08/31/2016  
 2. CFDA NO. 93.070  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 301(A)AND317(K)(2)PHS42USC241(A)247B(K)2

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU38EH000954-06-00  
 Formerly 5U38EH000954-05  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 08/01/2011 Through 07/31/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH ENVIRONMENTAL PUB HLTH TRACKING NETWORK IMPLEMENTATION & SUPPLEMENTAL

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 142104  
 Salt Lake City, UT 84114-2104

9b. GRANTEE PROJECT DIRECTOR  
 Mr. SAMUEL D LEFEVRE  
 288 NORTH 1460 WEST  
 P.O. BOX 142104  
 UTAH DEPARTMENT OF HEALTH  
 SALT LAKE CITY, UT 84114

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Robert Kennedy  
 4770 Buford Hwy, NE; MS K60  
 Atlanta, GA 30341  
 Phone: 770-488-3840

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	354,240.00
b. Fringe Benefits .....	219,629.00
c. Total Personnel Costs .....	573,869.00
d. Equipment .....	0.00
e. Supplies .....	17,244.00
f. Travel .....	17,546.00
g. Construction .....	0.00
h. Other .....	33,460.00
i. Contractual .....	134,757.00
j. TOTAL DIRECT COSTS →	776,876.00
k. INDIRECT COSTS	72,881.00
l. TOTAL APPROVED BUDGET	849,757.00
m. Federal Share	849,757.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	849,757.00
b. Less Unobligated Balance From Prior Budget Periods	3,891.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	845,866.00
13. Total Federal Funds Awarded to Date for Project Period	5,506,866.00

14. RECOMMENDED FUTURE SUPPORT <i>(Subject to the availability of funds and satisfactory progress of the project):</i>			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 7		d. 10	
b. 8		e. 11	
c. 9		f. 12	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Ralph U Robinson**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZPRT	b. 000954EH14	c. 93.070	d. EH	e. \$845,866.00	f. 75-16-0947
22. a.	b.	c.	d.	e.	f.
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/31/2016
GRANT NO. 5 NU38EH000954-06-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$0.00	\$0.00

# AWARD ATTACHMENTS

Utah Department of Health

5 NU38EH000954-06-00

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1. Terms and Conditions
2. Technical Review

Funding Opportunity Announcement (FOA) Number: **EH14-1403**

Award Number: **NU38EH000954-06**

Award Type: **Cooperative Agreement**

Applicable Cost Principles: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number EH14-1403, *entitled, "Maintenance and Enhancement of Environmental Public Health Tracking Network"* and application dated **April 14, 2016**, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence

**Approved Funding:** Funding in the amount of **\$845,866** is approved for the Year **06** budget period, which is **August 01, 2016** through **July 31, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds. **There was a 2.7% reduction in funding for FY 2016.**

**Reduction in Federal Funding for Fiscal Year 2016:** Due to the reduction in budget the grantee may reallocate funds within the 25% threshold to support activities for Year 03 without prior approval. **However, prior approval is required if the reallocation of funds is above the 25% threshold the grantee is required to submit a revised itemized budget, justification and revised work plan to reflect the reallocation of funds and the approved budget amount.**

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Use of Unobligated Funds:** *Verify amount and reference date on approved FFR.* This NoA includes use of unobligated funds in the amount of **\$3891**, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Federal Financial Report (FFR) dated 12/21/2015. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements is not required.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

**Note:** The disposition of program income must have written prior approval from the GMO

## FUNDING RESTRICTIONS AND LIMITATIONS

**Indirect Costs:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70% of the base, which includes direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.



**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.  
award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) **2016** funds will expire **September 30, 2016**. All FY **2016** funds should be drawn down and reported to Payment Management Services (PMS) prior to **September 30, 2021**. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period. The FFR for this budget period is due by **October 31, 2017**. Reporting timeframe is **August 01, 2014** through **July 31, 2017**.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

### Audit Requirement

Domestic Organizations (**including US-based organizations implementing projects with foreign components**): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit  
Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov)

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and

- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

#### Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the

grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):

- Salary and bonus
- Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- Above-market earnings on deferred compensation which is not tax-qualified.
- Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Travel Requirement:** Funds must be set aside for approved travel. The applicant agency must authorize participation in the mandatory National Conference and Workshop each year. It is essential to the program's success that staff members are allowed to travel as indicated in the state's Letter of Commitment to CDC, which is a condition of this award. By accepting this award, you have agreed to this condition.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at <http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html> . In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests by no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **NU38EH000954-06**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

(4) A Federal employee responsible for contract oversight or management at the relevant agency.

(5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A "P Account" is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **000954EH14**  
Subaccount Title: **EH141403MAINPHTRKG14**



**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is **August 01, 2014** through **July 31, 2017**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI). Report due date: **October 31, 2017**.

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

Statement of progress made toward the achievement of originally stated aims.

- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to the GMO/GMS no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its

rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Ralph Robinson, Grants Management Officer (GMO)  
Office of Financial Resources  
Office of Grants Services  
Centers for Disease Control and Prevention (CDC)  
2960 Brandywine Road, MS-E01  
Atlanta, Georgia 30341-4146  
Telephone: (770) 488-2441  
Internet Address: RRobinson6@cdc.gov

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:**

Terrian J. Dixon, Grants Management Specialist  
Office of Financial Resources  
Office of Grants Services  
Centers for Disease Control and Prevention  
2960 Brandywine Road, MS-E01  
Atlanta, Georgia 30341-4146  
Telephone: (770) 488-2774  
Internet Address: [thd4@cdc.gov](mailto:thd4@cdc.gov)

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Robert Kennedy, Program Manager  
Environmental Public Health Tracking Branch  
Division of Environmental Hazards and Health Effects  
Centers for Disease Control and Prevention  
4770 Buford Hwy, N.E; MS F-57  
Atlanta, Georgia 30341-3717  
Office (770) 488-3840  
Fax (770) 488-1538  
Email: [Roko@cdc.gov](mailto:Roko@cdc.gov)

**Funding Opportunity Announcement (FOA) New, Non –Research, Domestic  
Maintenance and Enhancement of the Environmental Public Health Tracking Network  
CDC –RFA-EH14-1403  
National Center for Environmental Health  
Technical Review**

Awardee's Name: Utah Department of Health

Grantee #: 5U38EH000954-05 Budget Year: August 1, 2016 – July 31, 2017

FOA #: CDC-RFA #EH14-1403

Title: Maintenance and Enhancement of the Environmental Public Health Tracking Network

Core Funding Requests: \$ 873,000 Core Funding Recommended Award: \$ 845,866.25

Emerging Topical Activities Requests: \$                      Emerging Topical Activities Award: \$                     

Actual Unobligated Funds: \$ 3,891.00 Estimated Unobligated Funds: \$                     

**Summary of Major Strengths (Please use numbered bullets):**

1. The Utah Environmental Public Health Tracking Network (UEPHTN) continues to maintain and enhance its state tracking network and activities. The Tracking data was improved by adding multiple new variables to the following datasets: birth, mortality, infant mortality, injury mortality, inpatient hospital discharge, emergency department encounter, and cancer.
2. The grantee, in collaboration with its data partners, maintains all required data flows to the Centers for Disease Control and Prevention (CDC) and provide data for all data submission windows. They collaborated with the Utah Birth Defects Network (UBDN) and Utah Blood Lead Registry (UBLR) to create new data queries for birth defects and blood lead data. The completed birth defects query allows the UEPHTN to transfer and standardize nationally consistent data and measures (NCDMs) for birth defects.
3. The program continues to track other data and measures that are not included in the NCDMs. They created six new chronic obstructive pulmonary disease (COPD) data views. During the next budget period, they plan to explore new state-specific data view (wildfires and neurological disease) and complete a new radon data query. Excellent collaboration and relationships with data stewards and stakeholders---in particular, to create new non-NCDMs that are relevant to Utah issues.
4. The applicant provides 121 state-specific data views for the following non-NCDM topic areas: hazardous substance releases, radon, community design, climate change, and meteorological indicators. They currently provides additional state-specific views for the following NCDMs topic areas: asthma, birth defects, cancer, COPD, heart attack, reproductive health and birth outcomes, air quality, blood lead, drinking water contamination, and carbon monoxide poisoning.
5. The UEPHTN continues to maintain and enhance its web portal to provide environmental public health tracking data, information, and metadata. In collaboration with the Utah Office of Public Health Assessment (OPHA) and the Indicator-Based Information System for Public Health (IBIS-PH) community of practice (CoP), the program completed six major enhancements to the web-portal: a data mapping tool, saved queries, interactive data display, trend analysis, Community Snapshot Report (CSR) tool, and improved web interface and functionality.
6. The applicant collaborates with Utah Department of Technology Services (DTS) and the Utah Department of Health (UDOH) Informatics Program to test, finalize, and deploy the new UEPHTN data warehouse to a PostgreSQL server. All Tracking datasets were successfully migrated to the new server as well.
7. The grantee continues to assess state/local needs for tracking tools and analytical methods. This includes creating the CSR tool, improving tracking data, and creating the birth defects queries.

8. The program continues to carry out the activities described in its Communications and Outreach Plan that was updated in October 2015. Utah's commitment to conducting training opportunities allowed (Their communication activities include training) 119 individuals from key audience to gain valuable skills, several of which will contribute to the state and local health department workforce and inform a variety of audience about the value of Tracking. With a 95% increase in "followers" from last year, expanding social media activities to include infographics; holding a community radon awareness event; being involved in three articles; providing data for cancer incidence and mortality reports; presenting two posters at the Council of State and Territorial Epidemiologist (CSTE) annual conference; and using their Risk Communication Plan to respond to environmental public health concerns are valuable tools for Utah EPHT to use to raise awareness and is an avenue for continued growth. During this budget period, the program released its latest educational booklet, *Air Pollution and Public Health in Utah* which show a targeted approach toward engagement and awareness and disseminate key public health messages based on current issues Utah government priorities.
9. The applicant continues to maintain data sharing agreements (DSAs) with all necessary data partners to ensure access to tracking data. They formalized a data sharing relationship with the Utah Indoor Radon Program (UIRP). As part of the program's increased access to statewide radon data, the program began creating radon test kit data query.
10. The grantee continues to maintain a Technical Advisory Group (TAG) that provides expertise and feedback on their program activities. Provide expertise on web portal development; reviewing secure data portal applications; reviewing and revising secure portal access protocol; and providing content expertise on UEPHTN indicator data reports and publications. The grantee collaborated with TAG members to review secure portal access requests (including evaluation study design protocol); created the birth defects and blood lead data queries; and developed, tested, and finalized all web portal enhancements.
11. The program staff continues to participate in Tracking Content Workgroup (CWGs). During this budget period the program contributed to 11 workgroups or subgroups: Program Marketing and Outreach (PMO), Environmental Health Snapshot (PMO subgroup), Performance Measurement and Evaluation (PME subgroup), Community Profile (PMO subgroup), COPD (Hospitalization subgroup), Blood Lead, Wildfire (Climate Change subgroup), Temperature (Climate Change subgroup), Metadata (Standard and Network Development subgroup), and the radon Pilot Project group.
12. The UTPHTN continues to collaborate with multidisciplinary environmental and public health stakeholder organizations. This includes assisting with the Four Corners States Biomonitoring Consortium (4CSBC); forming a reproductive health committee for the next educational booklet; holding a radon community event with UIRP and other partners; coordinating response to environmental public health issues with the Risk Assessment Coordination Committee (RACC); coordinating air quality messaging and communication with the Air Quality Communication Coordination Committee; assisting the Utah Division of Drinking Water (UDDW) with a peak water usage study; collaborating local health districts (LHDs) on responding to environmental public health investigations; and creating three new data queries with the respective data partners.
13. The applicant continues to analyze tracking data to support local and state environmental health program and investigations. The program cancer data was used to conduct two investigations. The first report was a 5-year follow up investigation of cancer incidence concerns after the 2010 Red Butte Creek Oil Spill in Salt Lake City. This investigation analyzed cancer rates in the Red Butte area of Salt Lake City to determine if they were higher than expected. The investigation's results were used to make a series of recommendations for public health practice in the Red Butte Creek area. The report was released to the public in August 2015. The second report analyzed statewide rates of thyroid cancer to detect areas in Utah with elevated rates of thyroid cancer. This investigation was conducted due to public concern of thyroid cancer in communities in

**Grantee Name:**

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Duchesne, Emery, Tooele, and Utah counties. The investigations results were used to inform public health practice and increase awareness of thyroid cancer screenings in Utah. This report was released to the public in October 2015. The applicants focus on strong public health actions such as the two recent investigations above will continue to show the value of their tracking program and will have the potential for earned media.

**Summary of Major Weaknesses (Please use numbered bullets):**

None noted

**Recommendations (List a recommendation for each weakness. Please use numbered bullets):**

N/A

**Additional Program Guidance (Please use numbered bullets):**

N/A

*Budget*

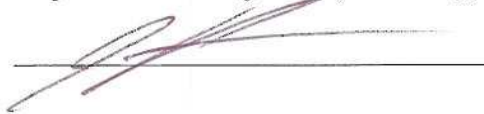
1. The budget appears to be reasonable and consistent with the proposed objectives.

Project Officer's Name:

Project Officer's Signature (mandatory):

Date:

Joseph Ralph  
(Print Name)



08/30/2016



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C Street, S.W. Washington, DC 20201

April 06, 2016

Director, Office of Fiscal Operations  
Utah Department of Health  
Division of Family Health and Preparedness  
288 N 1460 W  
PO Box 142001  
Salt Lake City, UT 84114-2001

**Re: Notice of Grant Award  
Personal Responsibility Education Program  
FY 2016**

Dear Grantee:

The following award is the allocated amount for the fiscal year indicated for the Personal Responsibility Education Program in accordance with Section 513 of the Social Security Act .

<b>Award Amount:</b>	<b>\$588,238</b>
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Catalog of Federal Domestic Assistance (CFDA) Program Number	Entity Identification Number (EIN)	Appropriation Number	Grant Document Number (GDN)	Common Accounting Number (CAN)	Amount
93.092	1-876000545-C1	75-X-1512	1601UTPREP	2016G99SU16	\$588,238

The project period for these funds starts **10/01/2015**. These funds must be obligated **no later than 09/30/2018** and liquidated **no later than 12/31/2018**. Any funds that remain unobligated or unliquidated after these dates will be recouped by this agency.

By accepting this award, the State agrees to use these funds in accordance with the Terms and Conditions and all applicable Federal laws, regulations and policies governing the use of Federal funds and the submission of periodic financial reports. Any expenditure found to have been made in violation of these requirements is subject to disallowance and recoupment by this agency and the imposition of additional interest charges under 45 CFR 30.13 and 30.14.

A copy of the General Terms and Conditions governing mandatory grant programs and additional program-specific requirements for this program are available at <https://www.acf.hhs.gov/grants/terms-and-conditions> .

Specifically, the State agrees to comply with the provisions of Federal regulations (31 CFR 205) that implements the Cash Management Improvement Act by limiting the amount and timing of your requests to draw Federal funds to the minimum amount necessary to meet actual and immediate program needs and requirements. Failure to adhere to these requirements may result in the unobligated portion of your letter-of-credit to be revoked.

Grant funds are available through HHS' Payment Management System (PMS). Please direct questions as follows:

- (a) Payments and Cash Transactions: Payment Management Services, Program Support Center PO Box 6021, Rockville, Maryland 20852 (<http://www.dpm.psc.gov>) or to the PMS Help Desk at (877) 614-5533.
- (b) Program Requirements: Marc D. Clark at [marc.clark@acf.hhs.gov](mailto:marc.clark@acf.hhs.gov) or (202) 205-8496;
- (c) Expenditure Reporting: Manolo Salgueiro at [manolo.salgueiro@acf.hhs.gov](mailto:manolo.salgueiro@acf.hhs.gov) or (202) 690-5811.

Sincerely,

Patrick A. Wells  
Director  
Division of Mandatory Grants

**IMPORTANT NOTICE:** Expenditures made using funds from this and all subsequent awards for this program will be governed by guidelines found in the new Omni Circular published by the Office of Management and Budget. These new guidelines supersede and incorporate several existing OMB Circulars and Regulations and are codified for HHS programs at 45 CFR part 75. (See the Federal Register Notice, dated Dec 19, 2014 at 79 FR 75871-76106). The Terms & Conditions for this program will be revised accordingly.

1. DATE ISSUED MM/DD/YYYY | 2. CFDA NO. | 3. ASSISTANCE TYPE  
 07/05/2016 | 93.735 | Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. | 5. ACTION TYPE  
 5 NU58DP005339-03-00 | Non-Competing  
 Formerly 1U58DP005339-01 | Continuation

6. PROJECT PERIOD MM/DD/YYYY | Through MM/DD/YYYY  
 From 08/01/2014 | Through 07/31/2018

7. BUDGET PERIOD MM/DD/YYYY | Through MM/DD/YYYY  
 From 08/01/2016 | Through 07/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 Section 4002 of the Affordable Care Act, Prevention and Public Health Fund.

8. TITLE OF PROJECT (OR PROGRAM)  
 REQUESTING FUNDING TO INCREASE QUITLINE CAPACITY AND SUSTAINABILITY.

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Disease Control and Prevention  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Janae Duncan  
 288 N 1460 W  
 Family Health and Preparedness  
 Salt Lake City, UT 84116-3231  
 Phone: 999-999-9999

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shai Watkins  
 PO Box 142001  
 Salt Lake City, UT 84114-2001  
 Phone: 801-538-6141

10b. FEDERAL PROJECT OFFICER  
 Christopher Kissler  
 4770 Buford Hwy  
 Chamblee, GA 30341  
 Phone: 770-488-5374

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	35,360.00
b. Fringe Benefits .....	17,264.00
c. Total Personnel Costs .....	52,624.00
d. Equipment .....	0.00
e. Supplies .....	0.00
f. Travel .....	1,222.00
g. Construction .....	0.00
h. Other .....	1,784.00
i. Contractual .....	10,758.00
j. TOTAL DIRECT COSTS →	66,388.00
k. INDIRECT COSTS	6,683.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>73,071.00</b>
m. Federal Share	73,071.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	73,071.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>73,071.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>225,065.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4		d. 7	
b. 5		e. 8	
c. 6		f. 9	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Kang Lee**

17. OBJ CLASS	41.51	18a. VENDOR CODE	1876000545C1	18b. EIN	876000545	19. DUNS	959347972	20. CONG. DIST.	02
FY-ACCOUNT NO.		DOCUMENT NO.		ADMINISTRATIVE CODE		AMT ACTION FIN ASST		APPROPRIATION	
21. a.	6-93905ZM	b.	16DP005339	c.	DP	d.	\$73,071.00	e.	75-X-0948
22. a.		b.		c.		d.		e.	
23. a.		b.		c.		d.		e.	



NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/05/2016
GRANT NO. 5 NU58DP005339-03-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP005339-03-00

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1. Terms and Conditions
2. Technical Review

Funding Opportunity Announcement (FOA) Number: DP14-141003CONTPPHF16  
Award Number: 5 U58DP005339-03  
Award Type: Cooperative Agreement  
Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## 45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

### AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DP14-141003CONTPPHF16, entitled Tobacco Use Prevention – Public Health Approaches for Ensuring Quitline Capacity – financed solely by 2016 Prevention and Public Health Funds, and application dated April 4, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$73,071 is approved for the Year 03 budget period, which is August 1, 2016 through July 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Funded by the Prevention and Public Health Fund

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

### FUNDING RESTRICTIONS AND LIMITATIONS

#### Programmatic Restriction:

- States should budget for any new data elements (not to exceed 8 data elements) prescribed by the National Quitline Data Warehouse.
- No more than 10% of funds may be used on nicotine replacement therapy (NRT) unless a formal request is made. States that plan to use more than 10% of their budget on NRT can request an increase of up to 25% of their budget for NRT by submitting a formal letter with dual signatures (PI & business official) to their PGO Grants Management Officer and Project Officer. The request should include a revised budget with the current NRT budget amount and the new NRT budget amount.
- These funds must be used to support OSH Quitline initiatives.

**Funding Opportunity Announcement (FOA) Restrictions:**

- Awardees may not use funds for research.
- Awardees may not use funds for clinical care.
- Awardees may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, awardees may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs is not allowed.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
  - publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body
  - the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body
- The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.
- See Additional Requirement (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC awardees.

**Indirect Costs:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows: a Provisional is approved at a rate of 12.70% of the base, which includes direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

**Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending

before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period.

The FFR for this budget period is due by October 31, 2017. Reporting timeframe is August 1, 2016 through July 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, March 31, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

In addition to the annual performance report, awardees must submit a Performance Measures and Financial Report as specified in the FOA.

**Audit Requirement:**

Domestic Organizations (***including US-based organizations implementing projects with foreign components***): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

[https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters.

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

**Reporting of First-Tier Sub-awards**

**Applicability:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

**Reporting:** Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

**Total Compensation of Recipient Executives:** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

**Total Compensation of Sub-recipient Executives:** Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate



- in favor of executives, and are available generally to all salaried employees.
- Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- Above-market earnings on deferred compensation which is not tax-qualified.
- Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**Prevention Fund Reporting Requirements:** This award requires the grantee to complete projects or activities which are funded under the Prevention and Public Health Fund (PPHF) (Section 4002 of Public Law 111-148) and to report on use of PPHF funds provided through this award. Information from these reports will be made available to the public.

Grantees awarded a grant, cooperative agreement, or contract from such funds with a value of \$25,000 or more shall produce reports on a semi-annual basis with a reporting cycle of January 1 - June 30 and July 1 - December 31; and email such reports to the CDC website (template and point of contact to be provided after award) no later than 20 calendar days after the end of each reporting period (i.e. July 20 and January 20, respectively). Grantee reports must reference the NoA number and title of the grant, and include a summary of the activities undertaken and identify any sub-awards (including the purpose of the award and the identity of each sub-recipient).

Responsibilities for Informing Sub-recipients: Grantees agree to separately identify each sub-recipient, document the execution date sub-award, date(s) of the disbursement of funds, the Federal award number, any special CFDA number assigned for PPHF fund purposes, and the amount of PPHF funds. When a grantee awards PPHF funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental PPHF funds from regular sub-awards under the existing program.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by March 31, 2017 or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope

- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, DP005339, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this

award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to

HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

(1) DoD, NASA, and the Coast Guard; or

(2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-

(i) Relates to an activity of an element of the intelligence community; or

(ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

(1) A Member of Congress or a representative of a committee of Congress.

(2) An Inspector General.

(3) The Government Accountability Office.

- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account:

Grant Document Number: 16DP005339  
Subaccount Title: DP141410PPHFCOOPAG16

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

#### **CLOSEOUT REQUIREMENTS**

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the budget period. Reporting timeframe is August 1, 2016 through July 31, 2017. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

A copy of the reports must be emailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following:

**Final Performance Report:** A copy must be emailed to the GMS. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be emailed to the GMO/GMS no later than 90 days after the end of the budget period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the budget period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** A complete inventory must be emailed to the GMS for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** The Final Invention Statement must be emailed to the GMS. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA

- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO.

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS.

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Chris Kissler, Project Officer  
Centers for Disease Control  
Program Services Branch  
4770 Buford Hwy.  
Chamblee, GA 30341  
Telephone: 770-488-5374  
Email: CKissler@cdc.gov

**Staff Contacts:**

Karen Clackum, Grants Management Specialist (GMS)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
KClackum@cdc.gov | 770-488-2680

Kang Lee, Grants Management Officer (GMO)



Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
KLee@cdc.gov | 770-488-2853

**FUNDING OPPORTUNITY ANNOUNCEMENT: DP14-141003CONTPPHF16  
PPHF 2016: Tobacco Use Prevention – Public Health Approaches for Ensuring Quitline  
Capacity – financed solely by 2016 Prevention and Public Health Funds**

**TECHNICAL REVIEW DOCUMENT  
YEAR 3**

**August 1, 2016 – July 31, 2017**

**Applicant:** Utah Department of Health

**Grant Number:** NU58DP005339

**Requested Amount:** \$75,997

**Recommended Amount:** \$73,071

**Name of Technical Reviewer:** Christopher J. Kissler

**Signature of Technical Reviewer:** 

**Date:** 04/28/2016

**I. Summary of Project/Proposed Objectives:**

- The applicant proposes to (1) Increase perceived harm from tobacco use, awareness/support for cessation services and intention to quit; (2) Increase the utilization of cessation services among low socio-economic, mental health/substance using populations; (3) Increase the number of health plans that cover comprehensive cessation services; (4) Increase the number of health systems adopting electronic medical record referrals; (5) Increase the number of health systems that adopt Affordable Care Act guidelines for tobacco cessation and treatment.

**II. Summary of Major Strengths:**

- The Utah Insurance Department released a bulletin to health insurers outlining the comprehensive tobacco cessation coverage required to ensure compliance under the Patient Protection and Affordable Care Act. This was a result of the applicant and partner efforts to promote and educate about cessation benefits.

- The applicant worked with the University of Utah Respiratory Therapy Group to implement a comprehensive cessation intervention. The University is a potential pilot group for the electronic health record referral system.
- The applicant continues to support the Recovery Plus project focusing tobacco use among persons with mental health/substance use disorders and maintains a good working relationship with the Division of Substance Abuse and Mental Health.
- The applicant and their partners trained more than two hundred healthcare providers on the *Clinical Practice Guidelines for Treating Tobacco Use and Dependence* and special considerations for pregnant and post-partum women. This resulted in five clinics implementing a standardized tobacco cessation intervention for their patients.

**III. Summary of Major Weaknesses:**

- No major weaknesses noted

**IV. Recommendations:**

- N/A

**V. Other relevant comments:**

- N/A

**VI. Budget and Budget Narrative Comments:**

- The applicant's budget appears reasonable, is in alignment with the workplan submitted, and supports the activities, activities, and outcomes of the cooperative agreement. The budget was reduced from \$75,997 to \$73,071 due to lack of funds.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
NOTICE OF AWARD**

SAI NUMBER:

PMS DOCUMENT NUMBER:

<b>1. AWARDING OFFICE:</b> Office of Refugee Resettlement - Discretionary	<b>2. ASSISTANCE TYPE:</b> Discretionary Grant	<b>3. AWARD NO.:</b> 90RX0265-03-00	<b>4. AMEND. NO.</b> 0
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<b>5. TYPE OF AWARD:</b> Other	<b>6. TYPE OF ACTION:</b> Non-Competing Continuation	<b>7. AWARD AUTHORITY:</b> 412(c)(1)(A) of INS Act
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<b>8. BUDGET PERIOD:</b> 08/15/2016 THRU 08/14/2017	<b>9. PROJECT PERIOD:</b> 08/15/2014 THRU 08/14/2017	<b>10. CAT NO.:</b> 93.576
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<b>11. RECIPIENT ORGANIZATION:</b> Utah Department of Health PO BOX 142008 288 N 1460 W Salt Lake City, UT 84114-2008 Grantee Authorizing Official: Shai Watkins	<b>12. PROJECT / PROGRAM TITLE:</b> Utah Refugee Health Promotion Project
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<b>13. COUNTY:</b> Salt Lake	<b>14. CONGR. DIST:</b> 02	<b>15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR:</b> Amelia Self
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<b>16. APPROVED BUDGET:</b>		<b>17. AWARD COMPUTATION:</b>	
Personnel.....	\$ 0.00	A. NON-FEDERAL SHARE.....	\$ 0.00 0%
Fringe Benefits.....	\$ 0.00	B. FEDERAL SHARE.....	\$ 100,000.00 100%
Travel.....	\$ 0.00	<b>18. FEDERAL SHARE COMPUTATION:</b>	
Equipment.....	\$ 0.00	A. TOTAL FEDERAL SHARE.....	\$ 100,000.00
Supplies.....	\$ 0.00	B. UNOBLIGATED BALANCE FEDERAL SHARE.....	\$ 0.00
Contractual.....	\$ 100,000.00	C. FED. SHARE AWARDED THIS BUDGET PERIOD...	\$ 0.00
Facilities/Construction.....	\$ 0.00	<b>19. AMOUNT AWARDED THIS ACTION:</b>	
Other.....	\$ 0.00	\$ 100,000.00	
Direct Costs.....	\$ 100,000.00	<b>20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:</b>	
Indirect Costs.....	\$ 0.00	\$ 300,000.00	
At % of \$		<b>21. AUTHORIZED TREATMENT OF PROGRAM INCOME:</b>	
In Kind Contributions.....	\$ 0.00	Additional Costs	
Total Approved Budget.....	\$ 100,000.00	<b>22. APPLICANT EIN:</b> 876000545	<b>23. PAYEE EIN:</b> 1876000545B1
		<b>24. OBJECT CLASS:</b> 41.51	

<b>25. FINANCIAL INFORMATION:</b>					DUNS 959347972	
<b>ORGN</b>	<b>DOCUMENT NO.</b>	<b>APPROPRIATION</b>	<b>CAN NO.</b>	<b>NEW AMT.</b>	<b>UNOBLIG.</b>	<b>NONFED %</b>
	90RX026503	75-1618-1503	6-G99PRH6	\$100,000.00		

**26. REMARKS:** (Continued on separate sheets)

**RESTRICTION PLACED ON FEDERAL FUNDS:**

Within thirty (30) days from the start date of this award, the grantee must submit a REVISED SF-424 signed by the Authorized Representative.

<b>27. SIGNATURE - ACF GRANTS OFFICER</b> William Kim	<b>DATE:</b> 08/22/2016	<b>28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY</b> Ms. Wanda D Hall	<b>DATE:</b> 08/15/2016
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<b>29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S)</b> Ms. Andrea Helling -	<b>DATE:</b> 08/16/2016
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**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
NOTICE OF AWARD**

SAI NUMBER:

PMS DOCUMENT NUMBER:

<b>1. AWARDING OFFICE:</b> Office of Refugee Resettlement - Discretionary		<b>2. ASSISTANCE TYPE:</b> Discretionary Grant	<b>3. AWARD NO.:</b> 90RX0265-03-00	<b>4. AMEND. NO.:</b> 0
<b>5. TYPE OF AWARD:</b> Other		<b>6. TYPE OF ACTION:</b> Non-Competing Continuation	<b>7. AWARD AUTHORITY:</b> 412(c)(1)(A) of INS Act	
<b>8. BUDGET PERIOD:</b> 08/15/2016 <b>THRU</b> 08/14/2017		<b>9. PROJECT PERIOD:</b> 08/15/2014 <b>THRU</b> 08/14/2017		<b>10. CAT NO.:</b> 93.576
<b>11. RECIPIENT ORGANIZATION:</b> Utah Department of Health				

**STAFF CONTACTS**

1. For questions and concerns regarding all budgetary, fiscal, and non-programmatic issues and activities (such as budget questions, requests for drawdown of Federal grant funds; issues with financial matters; and guidance on financial reports), please see the following table to contact your Grants Management Specialist for your state:

Grants Management Specialist	E-mail Address	State Coverage
Roni Brooks	<a href="mailto:Roni.brooks@acf.hhs.gov">Roni.brooks@acf.hhs.gov</a>	AZ, CO, DE, IA, ID, MN, NJ, OH, OK, SC, SD, UT, WA
Theresa Hall	<a href="mailto:Theresa.hall@acf.hhs.gov">Theresa.hall@acf.hhs.gov</a>	AL, IL, IN, MI, MO, NE, NH, PA, RI, VA, VT, WI, WV, WY
Marc Hill	<a href="mailto:Marc.hill@acf.hhs.gov">Marc.hill@acf.hhs.gov</a>	CT, HI, KY, LA, NM, NV, NY, PR, VI
Bernard Morgan	<a href="mailto:Bernard.morgan@acf.hhs.gov">Bernard.morgan@acf.hhs.gov</a>	DC, GA, KS, ME, MS, MT, OR, TX
Anita White	<a href="mailto:Anita.white@acf.hhs.gov">Anita.white@acf.hhs.gov</a>	AK, AR, CA, FL, MA, MD, NC, ND, TN

For questions and concerns regarding all programmatic issues and activities related to your grant, please contact your designated Program Specialist. The "Welcome Letter" or Non-Competing Continuation invite letter uploaded to the grant note section in GrantSolutions, identified your Program Specialist and contact information.

All correspondence and reports related to your grant should be transmitted to your Grants Management Specialist via GrantSolutions, but may be e-mailed or sent (hardcopy) by mail in cases where internet access is limited.

**STANDARD TERMS**

1. Paid by DHHS Payment Management System (PMS), see attached for payment information. This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to you based on your recipient type and the purpose of this award.

This includes requirements in Parts I and II (available at <http://www.hhs.gov/grants/grants/policies-regulations/index.html> of the HHS GPS. Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 75, directly apply to this award apart from any coverage in the HHS GPS.

This award is subject to requirements or limitations in any applicable Appropriations Act.

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
NOTICE OF AWARD**

SAI NUMBER:

PMS DOCUMENT NUMBER:

<b>1. AWARDING OFFICE:</b> Office of Refugee Resettlement - Discretionary		<b>2. ASSISTANCE TYPE:</b> Discretionary Grant	<b>3. AWARD NO.:</b> 90RX0265-03-00	<b>4. AMEND. NO.</b> 0
<b>5. TYPE OF AWARD:</b> Other		<b>6. TYPE OF ACTION:</b> Non-Competing Continuation	<b>7. AWARD AUTHORITY:</b> 412(c)(1)(A) of INS Act	
<b>8. BUDGET PERIOD:</b> 08/15/2016 <b>THRU</b> 08/14/2017		<b>9. PROJECT PERIOD:</b> 08/15/2014 <b>THRU</b> 08/14/2017		<b>10. CAT NO.:</b> 93.576
<b>11. RECIPIENT ORGANIZATION:</b> Utah Department of Health				

This award is subject to the Federal Financial Accountability and Transparency Act (FFATA or Transparency) of 2006 subaward and executive compensation reporting requirements. For the full text of the award term, go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>.

This award is subject to requirements as set forth in 2 CFR 25.110 Central Contractor Registration (CCR) and DATA Universal Number System (DUNS). For full text go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>.

Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:

The Administration for Children for Children and Families  
U.S. Department of Health and Human Services  
Office of Grants Management  
ATTN: Grants Management Specialist  
330 C Street, SW., Switzer Building  
Corridor 3200  
Washington, DC 20201

AND

U.S. Department of Health and Human Services  
Office of Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW, Cohen Building  
Room 5527  
Washington, DC 20201

Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 & 376 and 31 U.S.C. 3321).

This award is subject to the requirements as set forth in 45 CFR Part 87.  
This grant is subject to the requirements as set forth in 45 CFR Part 75.  
Attached are terms and conditions, reporting requirements, and payment instructions.  
Initial expenditure of funds by the grantee constitutes acceptance of this award.

# Grant and Cooperative Agreement

CHOOSE ONE:

- COOPERATIVE AGREEMENT  
 GRANT

CHOOSE ONE:  EDUCATION  FACILITIES  RESEARCH  SDCR  TRAINING

1. GRANT/COOPERATIVE AGREEMENT NUMBER S16AC20046		2. SUPPLEMENT NUMBER		3. EFFECTIVE DATE 09/30/2016		4. COMPLETION DATE 10/01/2017	
5. ISSUED TO NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip) NATURAL RESOURCES, UTAH DEPARTMENT OF Attn: ATTN GOVERNMENT POC 1594 W NORTH TEMPLE # 3110 SALT LAKE CITY UT 84116-3154				6. ISSUED BY OSM FA Western Region Denver, CO Mailing Address: 1951 Constitution Ave. N.W. Washington DC 20240-0001			
7. TAXPAYER IDENTIFICATION NO. (TIN)				9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone) Craig Morgan 801.537.3370			
8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO. 3KND0							
10. RESEARCH, PROJECT OR PROGRAM TITLE AS UT FY2016 UMM							
11. PURPOSE Fund Underground Mine Mapping -TSR 4 Applied science application							
12. PERIOD OF PERFORMANCE (Approximately) 09/30/2016 through 10/01/2017							
13A.		AWARD HISTORY		13B.		FUNDING HISTORY	
PREVIOUS		\$0.00		PREVIOUS		\$0.00	
THIS ACTION		\$49,967.00		THIS ACTION		\$49,967.00	
CASH SHARE		\$0.00		<b>TOTAL</b>		\$49,967.00	
NON-CASH SHARE		\$0.00					
RECIPIENT SHARE		\$0.00					
<b>TOTAL</b>		<b>\$49,967.00</b>					
14. ACCOUNTING AND APPROPRIATION DATA 01							
PURCHASE REQUEST NO.		JOB ORDER NO.		AMOUNT		STATUS	
0020111477							
15. POINTS OF CONTACT							
	NAME		MAIL STOP	TELEPHONE		E-MAIL ADDRESS	
TECHNICAL OFFICER	Steven Trujillo			(505) 761-8983		strujillo@osmre.gov	
NEGOTIATOR							
ADMINISTRATOR	Steven Trujillo			(505) 761-8983		strujillo@osmre.gov	
PAYMENTS							
16. THIS AWARD IS MADE UNDER THE AUTHORITY OF: The Surface Mining and Reclamation Act of 1977 (P.L. 95-87) as amended							
17. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING PROVISIONS <input type="checkbox"/> FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT				18. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> PROVISIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS			
<b>UNITED STATES OF AMERICA</b>				<b>COOPERATIVE AGREEMENT RECIPIENT</b>			
CONTRACTING/GRANT OFFICER Dawn Benavides		DATE 09/01/2016		AUTHORIZED REPRESENTATIVE		DATE	

## Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (F)	AMOUNT (F)
	<p>CFDA Number: 15.255</p> <p>DUNS Number: 176871572</p> <p>The following are incorporated into this agreement by reference:</p> <ol style="list-style-type: none"> <li>1. Your complete application for this assistance agreement, including amendments to the application</li> <li>2. The Surface Mining Control and Reclamation Act of 1977 (P.L. 95-87) as amended</li> <li>3. OSM grant regulations (Code of Federal Regulations: 30 CFR Chapter VII, Parts 725, 735, 795, 870-887)</li> <li>4. Your approved regulatory and/or reclamation program as listed in 30 CFR Chapter VII, Subchapter T.</li> <li>5. OSM's Federal Assistance Manual, directive GMT-10</li> <li>6. The standard Department of Interior Financial Assistance terms and conditions for this award are incorporated herein by reference with the same force and effect as if in full text. The full text can be found at: <a href="http://www.doi.gov/pam/programs/financial_assistance/TermsandConditions.cfm">http://www.doi.gov/pam/programs/financial_assistance/TermsandConditions.cfm</a> or can be obtained by contacting the Financial Assistance Administrator.</li> <li>7. Recipient Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sep 2013)               <ol style="list-style-type: none"> <li>(a) This award and employees working on this financial assistance agreement will be subject to the whistleblower rights and remedies in the pilot program on Award Recipient employee whistleblower protections established at 41 U.S. C. 4712 by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239).</li> <li>(b) The Award Recipient shall inform its employees in writing, in the predominant language</li> </ol> </li> </ol> <p>Continued ...</p>				



## Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
	<p>of the workforce, of the employee whistleblower rights and protections under 41 U.S.C. 4712.</p> <p>(c) The Award Recipient shall insert the substance of this clause, including this paragraph (c), in all subawards or subcontracts over the simplified acquisition threshold. 42 CFR Â§ 52.203-17 (as referenced in 42 CFR Â§ 3.908-9).</p> <p>8. In accordance with Chapter 3-120 of the Federal Assistance Manual, you must obtain our approval before you provide financial assistance to a third party by subgrant or other means. Once we have given our approval, you must update the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS), accordingly.</p> <p>9. The Recipient must establish safeguards to prohibit its employees and Subrecipients from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. The Recipient is responsible for notifying the grants officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the Recipient or its employees in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationship, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or making a decision affecting the award that a reasonable person with knowledge of the relevant facts would question the Recipient</p> <p>Continued ...</p>				

## Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
	<p>and/or Recipients employees and Subrecipients impartiality in the matter.</p> <p>The grants officer and the servicing ethics counselor will determine if a conflict of interest exists. If a conflict of interest exists, the grants officer will determine whether a mitigation plan is feasible. Mitigation plans must be approved by the grants officer in writing. Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award.</p> <p>With certain exceptions found in Chapter 2-260 of the Federal Assistance Manual, you must keep these records for three years starting on the day you send us your final expenditure report to close the assistance agreement.</p> <p>This agreement takes effect at the time of approval by the Director of OSM or his authorized delegate. The recipient accepts the agreement including the terms and conditions by starting work or making its first request for Federal funds approved under this agreement.</p> <p>Legacy Doc #: OSM            Delivery: 10/01/2017            Delivery Location Code: 0003820475            OSM, Headquarters            1951 Constitution Ave, NW            Washington DC 20240 US</p> <p>Account Assignment: K G/L Account: 6100.411C0            Business Area: S000 Commitment Item: 411C00 Cost Center: SS06330000 Functional Area:            S2T2T0000.2T4610 Fund: XXXS501520 Fund Center: SS06330000 Project/WBS: SX.461 PR Acct Assign</p> <p>Continued ...</p>				

## Grant and Cooperative Agreement

ITEM NO (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
00010	<p>Line: 01 Period of Performance: 09/30/2016 to 10/01/2017</p> <p>Underground Mine Mapping Obligated Amount: \$49,967.00</p> <p>The total amount of award: \$49,967.00. The obligation for this award is \$49,967.00.</p>				49,967.00



AOT  
Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

**Grant Number:** 1H79SM063545-01  
**FAIN:** SM063545  
**Program Director:** Pamela Bennett

**Project Title:** Utah Assisted Outpatient Treatment Program (U-AOT)

<b>Grantee Address</b>	<b>Business Address</b>
UTAH STATE DEPARTMENT OF HUMAN SERVICES Pamela Bennett Program Administrator Division of Substance Abuse and Mental Health 195 North 1950 West Salt Lake City, UT 841163100	Stacey Galli Financial Analyst Utah Division of SA & MH 195 North 1950 West Salt Lake City, UT 841163100

**Budget Period:** 09/30/2016 – 09/29/2017  
**Project Period:** 09/30/2016 – 09/29/2020

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$750,000 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UTAH STATE DEPARTMENT OF HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 224 of PAMA and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://www.samhsa.gov) (click on “Grants” then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

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.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,  
Gwendolyn Simpson  
Grants Management Officer  
Division of Grants Management

See additional information below

**SECTION I – AWARD DATA – 1H79SM063545-01**

**Award Calculation (U.S. Dollars)**

<b>Salaries and Wages</b>	\$63,621
<b>Fringe Benefits</b>	\$32,354
<b>Personnel Costs (Subtotal)</b>	\$95,975
<b>Supplies</b>	\$5,296
<b>Consortium/Contractual Cost</b>	\$600,000
<b>Travel Costs</b>	\$3,976
<b>Other</b>	\$31,741
<b>Direct Cost</b>	\$736,988
<b>Indirect Cost</b>	\$13,012
<b>Approved Budget</b>	\$750,000
<b>Federal Share</b>	\$750,000
<b>Cumulative Prior Awards for this Budget Period</b>	\$0
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$750,000</b>

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$750,000
2	\$750,000
3	\$750,000
4	\$750,000

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

**Fiscal Information:**

**CFDA Number:** 93.997  
**EIN:** 1876000545C6  
**Document Number:** 16SM63545A  
**Fiscal Year:** 2016

<b>IC</b>	<b>CAN</b>	<b>Amount</b>
SM	C96J670	\$750,000

IC	CAN	2016	2017	2018	2019
SM	C96J670	\$750,000	\$750,000	\$750,000	\$750,000

**SM Administrative Data:**

**PCC:** AOT / OC: 4145

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1H79SM063545-01**

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-

800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

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### **SECTION III – TERMS AND CONDITIONS – 1H79SM063545-01**

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

#### **Treatment of Program Income:**

##### **Additional Costs**

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

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### **SECTION IV – SM Special Terms and Conditions – 1H79SM063545-01**

#### **REMARKS:**

As a reminder all SAMHSA official notifications will be electronically mailed to your organization's Business Official address as identified in the HHS Checklist, Part C.

1. This award reflects approval of the budget submitted on 06/16/2016 as part of the application.
2. The grantee is required to provide a **revised detail budget narrative and justification showing** cost break down i.e. ( hourly rate x number of hours x number of days) for the following budget categories to your Grants Management Specialist by Novemebr 30, 2016:
  - Contractual cost totaling \$600,000
  - Other cost totaling \$31,741
3. The indirect cost totaling \$13,012 cannot be claimed until grantee has provided an updated IDC Rate Agreement to your Grants Management Specialist by email only.

#### **SPECIAL TERMS:**

DOMA Language for ALL Statewide Peer Networks for R&R Grantees:

On June 26, 2013, in Un ited States v . Windsor , the Supreme Court held that section 3 of the

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Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex spouses/marriages, was unconstitutional. As a result of that decision, SAMHSA is no longer prohibited from recognizing same sex marriages. Consistent with HHS policy and the purposes of SAMHSA programs, same-sex spouses/marriages are to be recognized in the SAMHSA Assisted Outpatient Treatment Program. This means that, as a recipient of SAMHSA Assisted Outpatient Treatment Program funds you are required to treat as valid the marriages of same-sex couples whose marriage was legal when entered into. This applies regardless of whether the couple now lives in a jurisdiction that recognizes same-sex marriage or a jurisdiction that does not recognize same-sex marriage. Any same-sex marriage legally entered into in one of the 50 states, the District of Columbia, a U.S. territory or a foreign country will be recognized. However, this does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage.

**Disparity Impact Statement (DIS):** By November 30, 2016, you must: Submit an electronic copy of a disparity impact statement to the Government Project Officer (GPO) and Grants Management Specialist (GMS) as identified under Contacts on this notice of award. The disparity impact statement should be consistent with information in your application regarding access, \*service use and outcomes for the program and include three components as described below. Questions about the disparity impact statement should be directed to your GPO. Examples of disparity impact statements can be found on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/disparity-impact-statement>.

\*Service use is inclusive of treatment services, prevention services as well as outreach, engagement, training and/or technical assistance activities.

The disparity impact statement, in response to the Special Term of Award, consists of three components:

1. Proposed number of individuals to be served by subpopulations in the grant implementation area should be provided in a table that covers the entire grant period. The disparate population(s) should be identified in a narrative that includes a description of the population and rationale for how the determination was made.
2. A quality improvement plan for how you will use your program (GPRA) data on access, use and outcomes to monitor and manage program outcomes by race, ethnicity and LGBT status, when possible. The quality improvement plan should include strategies for how processes and/or programmatic adjustments will support efforts to reduce disparities for the identified sub-populations.
3. The quality improvement plan should include methods for the development and implementation of policies and procedures to ensure adherence to the Enhanced Culturally and Linguistically Appropriate Services (CLAS) Standards and the provision of effective care and services that are responsive to:
  1. Diverse cultural health beliefs and practices;
  2. Preferred languages; and
  3. Health literacy and other communication needs of all sub-populations within the proposed geographic region.

### **Recovery Measure Tool Applies to All AOT Grantees**

SAMHSA has developed a Recovery Measure tool that is currently undergoing OMB clearance. The Recovery Measure tool consists of twenty-one client-level questions in support of SAMHSA's Strategic Initiative on Recovery Support. These questions were selected to be consistent with SAMHSA's working definition of recovery and four guiding principles of recovery.

Once the tool is approved grantees will be expected to collect and report data using the tool. Grantees will be provided training. Grantees will still be required to report data using the measure that were included in the FOA (SM-16-011).

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### **Financial Capability Review:**

SAMHSA's Office of Financial Advisory Services (OFAS) is currently conducting a review of your organization's financial management system to determine if it is capable of adequately administering federal awards in accordance with 45 CFR 75.205. If the review discloses material weaknesses and/or other financial management concerns, additional specific award conditions may be imposed on your organization as deemed appropriate in accordance with 45 CFR 75.207. The conditions will include your organization's Payment Management Services (PMS) account being restricted, which results in all future PMS drawdowns, whether through advances or reimbursements, being required to be approved in advance by OFAS and the applicable Grants Management Specialist and Government Program Official. The pre-approvals will be based on the submission of monthly Requests for Advance/ Reimbursement (SF270) along with accounting reports and source documentation that adequately supports the costs being claimed.

### **STANDARD TERMS OF AWARD:**

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>  
**(NEW or COOPERATIVE AGREEMENT)**

Key staff (or key staff positions, if staff has not been selected) are listed below:

**Pamela Bennett**, Project Director @ 15% level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

### **REPORTING REQUIREMENTS:**

Submission of a Programmatic semi-annual Report is due no later than the dates as follows:

1st Report - March 30, 2017

2nd Report - September 30, 2017

**Please submit your Programmatic semi-annual Report to**  
[DGMPProgressReports@samhsa.hhs.gov](mailto:DGMPProgressReports@samhsa.hhs.gov) **and** **copy your Program Official.**  
(HARD COPIES SUBMISSION IS NOT REQUIRED)

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

**It is essential that the Grant Number be included in the SUBJECT line of the email.**

CONTACTS:

Mariam Chase, Program Official

**Phone:** (240) 276-1904 **Email:** [Mariam.Chase@samhsa.hhs.gov](mailto:Mariam.Chase@samhsa.hhs.gov)



Darrell Russ, Grants Specialist

**Phone:** (240) 276-1517 **Email:** darrell.russ@samhsa.hhs.gov

Dear SCAAP Recipient:

The Bureau of Justice Assistance (BJA) is pleased to announce that your Fiscal Year (FY) 2016 State Criminal Alien Assistance Program (SCAAP) award is complete and ready for drawdown. Please follow the instructions below to accept your FY 2016 SCAAP award:

-Access the Office of Justice Programs (OJP) Grants Management System (GMS) web site at <https://grants.ojp.usdoj.gov/> and log on using your SCAAP user ID and password.

-Locate the Application status block that contains your FY 2016 SCAAP application. You will see the "View" and "Drawdown" links under the "Action" header located on the right side of this block.

-Click on "Drawdown." This will take you to an acceptance screen that displays your award number, jurisdiction name, and award amount at the top. Please print this screen for your records. Select at least one use of SCAAP funds on the provided list. Multiple selections are possible by holding down the Control key and clicking on the mouse.

-Review and click the certification checkbox before accepting the award. Only an employee (authorized representative or authorized point of contact) of the jurisdiction may accept the SCAAP funds.

-Use of SCAAP Awards: The Department of Justice Reauthorization Act of 2005 (Pub. L. 109-162, Title XI) included the following requirement regarding the use of SCAAP funds: "Amounts appropriated pursuant to the authorization of appropriations in paragraph (5) that are distributed to a State or political subdivision of a State, including a municipality, may be used only for correctional purposes." Beginning with FY 2007 SCAAP awards, SCAAP funds must be used for correctional purposes only: [https://www.bja.gov/Funding/16SCAAP\\_Guidelines.pdf](https://www.bja.gov/Funding/16SCAAP_Guidelines.pdf).

-Located at the bottom of the screen are the "Accept" and "Decline" buttons. After you accept your award, you will be taken to a screen that confirms your acceptance. Applicants are required to accept awards online within 60 calendar days of this award notice. This email serves as notice for you to accept your FY 2016 SCAAP award online. Please retain this email for your records.

-Following your acceptance of the SCAAP terms, conditions, and award amount, OJP will initiate an electronic payment to your bank account of record, verified through the online SCAAP registration process. Please retain the acceptance documents for your records.

-Allow 15 business days (from the date of acceptance) for the electronic payment process to occur.

For password resets, technical or system-related questions, please call the GMS Helpdesk at [1-888-549-9901](tel:1-888-549-9901), Option 3.

For questions concerning your SCAAP award amount or other award questions, please email [joseph.husted@usdoj.gov](mailto:joseph.husted@usdoj.gov) or call [202-353-4411](tel:202-353-4411).

For questions related to the electronic transfer of funds or bank account of record, please contact the OJP Office of the Chief Financial Officer Customer Service Center at [1-800-458-0786](tel:1-800-458-0786) or [AskOCFO@usdoj.gov](mailto:AskOCFO@usdoj.gov).

Thank you

SCAAP Program Team  
Bureau of Justice Assistance



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

Office of Grants Management 330 C Street, S.W. Washington, DC 20201

May 18, 2016

UT Department of Health  
Division of Family Health and Preparedness  
Director, Office of Fiscal Operations  
PO Box 142001  
Salt Lake City, UT 84114-2001

**Re: Notice of Grant Award  
Abstinence Education Grant Program  
FY 2016**

Dear Grantee:

The following award is the allocated amount for the fiscal year indicated for the Abstinence Education Grant Program in accordance with Section 510 of the Social Security Act.

<b>Award Amount:</b>	<b>\$583,719</b>
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Catalog of Federal Domestic Assistance (CFDA) Program Number	Entity Identification Number (EIN)	Appropriation Number	Grant Document Number (GDN)	Common Accounting Number (CAN)	Amount
93.235	1-876000545-C1	75-6-1512	1601UTAEGP	2016G990597	\$583,719

The project period for these funds starts **10/01/2015**. These funds must be obligated **no later than 09/30/2017** and liquidated **no later than 12/30/2017**. Any funds that remain unobligated or unliquidated after these dates will be recouped by this agency.

By accepting this award, the State agrees to use these funds in accordance with the Terms and Conditions and all applicable Federal laws, regulations and policies governing the use of Federal funds and the submission of periodic financial reports. Any expenditure found to have been made in violation of these requirements is subject to disallowance and recoupment by this agency and the imposition of additional interest charges under 45 CFR 30.13 and 30.14.

A copy of the General Terms and Conditions governing mandatory grant programs and additional program-specific requirements for this program are available at <https://www.acf.hhs.gov/grants/terms-and-conditions>.

Specifically, the State agrees to comply with the provisions of Federal regulations (31 CFR 205) that implements the Cash Management Improvement Act by limiting the amount and timing of your requests to draw Federal funds to the minimum amount necessary to meet actual and immediate program needs and requirements. Failure to adhere to these requirements may result in the unobligated portion of your letter-of-credit to be revoked.

Grant funds are available through HHS' Payment Management System (PMS). Please direct questions as follows:

- Payments and Cash Transactions:** Payment Management Services, Program Support Center PO Box 6021, Rockville, Maryland 20852 (<http://www.dpm.psc.gov>) or to the PMS Help Desk at (877) 614-5533.
- Program Requirements:** Jewellynne Tinsley at [jewellynne.tinsley@acf.hhs.gov](mailto:jewellynne.tinsley@acf.hhs.gov) or (202) 401-5082;
- Expenditure Reporting:** Manolo Salgueiro at [manolo.salgueiro@acf.hhs.gov](mailto:manolo.salgueiro@acf.hhs.gov) or (202) 690-5811.

Sincerely,

Patrick A. Wells  
Director  
Division of Mandatory Grants



## United States Department of the Interior



### OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT

Western Region Office  
1999 Broadway, Suite 3320  
Denver, CO 80202-3050

Craig D Morgan  
Energy & Minerals Program Manager  
Utah Geological Survey  
Department of Natural Resources  
P.O. Box 146100  
Salt Lake City, Utah 84114

**AUG 17 2016**

Dear Mr. Morgan:

On behalf of the Office of Surface Mining Reclamation and Enforcement (OSMRE), I am pleased to notify you that your agency's proposal titled, "Development of a Geodatabase and Overburden Maps of Utah's Past Coal Mines", has been selected for funding under OSMRE's Underground Mine Map Initiative.

I have asked my staff to prepare a Cooperative Agreement with the State of Utah in the amount of \$49,967. Steve Trujillo, Grants Management Specialist, will work with your staff in acquiring the signed financial documents necessary to execute the award. Glenn Waugh, Senior Regulatory Program Specialist, will serve as the Project Technical Representative once the project commences.

Mr. Trujillo can be contacted at (505) 761-8983 or at [strujillo@osmre.gov](mailto:strujillo@osmre.gov) and Mr. Waugh can be contacted at (360) 753-9538 or at [gwaugh@osmre.gov](mailto:gwaugh@osmre.gov).

Again, congratulations on your award and don't hesitate to contact my staff with any questions.

Sincerely,

David Berry, Regional Director  
OSMRE, Western Region

Ec: Steve Trujillo, OSMRE Western Region  
Glenn Waugh, OSMRE Western Region



Mrs. Kirsten Darrington  
Utah Arts Council  
617 E. South Temple Street  
Salt Lake City, UT 84102-1101

June 9, 2016

Dear Mrs. Darrington:

On behalf of the National Endowment for the Arts, it is a pleasure to inform you that your organization has been awarded a Partnership grant.

<u>Grantee:</u>	Utah Arts Council	
<u>Grant #:</u>	16-6100-2045	<u>DUNS#:</u> 782430388
<u>CFDA #:</u>	45.025	Promotion of the Arts Partnership Agreements
<u>Grant Amount:</u>	\$731,600	
<u>Period of Performance:</u>	July 1, 2016 to June 30, 2017	
<u>Discipline/Program:</u>	State & Regional	
<u>Grant Project:</u>	To support Partnership Agreement activities, as described in your application (A 16-968041) and the enclosed project budget.	

Please review the additional documents that accompany this award notice. A copy of the approved budget is included. If changes were made to the budget they are noted at the bottom of the budget page.

Award materials are online at [www.arts.gov/manageaward/Partnerships.html](http://www.arts.gov/manageaward/Partnerships.html). The *FY 2015 and Later General Terms & Conditions for Partnership Agreements* provide detailed information concerning the NEA's regulations and procedures, the administrative requirements that apply to your grant, and your responsibilities as a grantee. Instructions for requesting grant funds and reporting on your project are also here.

If you have any questions regarding the administrative requirements of this grant, our Grants & Contracts Office staff will be happy to assist you. They may be reached at [grants@arts.gov](mailto:grants@arts.gov) or (202) 682-5403.

Congratulations on your grant award!

Sincerely,

A handwritten signature in black ink that reads "Jane Chu". The signature is written in a cursive, flowing style.

Jane Chu  
Chairman

Enclosures

**Application for Federal Assistance SF-424**

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): _____ * Other (Specify) _____
--	--	---

* 3. Date Received: _____	4. Applicant Identifier: _____
------------------------------	-----------------------------------

5a. Federal Entity Identifier: _____	* 5b. Federal Award Identifier: _____
---	--

**State Use Only:**

6. Date Received by State: _____	7. State Application Identifier: _____
----------------------------------	--

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): 87-60000545	* c. Organizational DUNS: <input type="text" value="94 497 4104"/>
--	---

**d. Address:**

\* Street1:   
Street2:   
\* City:   
County:   
\* State:   
Province: \_\_\_\_\_  
\* Country:   
\* Zip / Postal Code:

**e. Organizational Unit:**

Department Name: <input type="text" value="State of Utah Office of Attorney General"/>	Division Name: <input type="text" value="Criminal"/>
---	---

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: \_\_\_\_\_ \* First Name:   
Middle Name: \_\_\_\_\_  
\* Last Name:   
Suffix: \_\_\_\_\_

Title:

Organizational Affiliation:

\* Telephone Number:  Fax Number: \_\_\_\_\_

\* Email:

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

Department of Health and Human Services / Office of Inspector General

**11. Catalog of Federal Domestic Assistance Number:**

93.775

CFDA Title:

State Medicaid Fraud Control Unit Grant Program

**\* 12. Funding Opportunity Number:**

\* Title:

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

State of Utah

**\* 15. Descriptive Title of Applicant's Project:**

Medicaid Fraud Control Unit

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant UT-002

\* b. Program/Project UT-001,002,003

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date: 10/01/16

\* b. End Date: 9/30/17

**18. Estimated Funding (\$):**

\* a. Federal 1,701,082

\* b. Applicant 567,027

\* c. State

\* d. Local

\* e. Other

\* f. Program Income

\* g. TOTAL 2,268,109

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes  No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name: Robert

Middle Name:

\* Last Name: Steed

Suffix:

\* Title: Director

\* Telephone Number: 801 281 1259 Fax Number:

\* Email: rsteed@utah.gov

\* Signature of Authorized Representative:  \* Date Signed: 7/14/16



**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**INSTRUCTIONS FOR THE SF-424**

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award                      B. Decrease Award</li> <li>C. Increase Duration                      D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant’s Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina’s 103 <sup>rd</sup> district. • If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

	<p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.</p>																								
	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>	20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.</p>																								
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, (if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this applicat</b> (required), organizational affiliation (if affiliated with an organization other <b>on:</b> Enter the name (First and last name than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="134 846 894 1434"> <tr> <td data-bbox="134 846 537 873">A. State Government</td> <td data-bbox="537 846 894 873">M. Nonprofit</td> </tr> <tr> <td data-bbox="134 873 537 900">B. County Government</td> <td data-bbox="537 873 894 900">N. Nonprofit</td> </tr> <tr> <td data-bbox="134 900 537 947">C. City or Township Government</td> <td data-bbox="537 900 894 947">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="134 947 537 974">D. Special District Government</td> <td data-bbox="537 947 894 974">P. Individual</td> </tr> <tr> <td data-bbox="134 974 537 1001">E. Regional Organization</td> <td data-bbox="537 974 894 1043">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="134 1001 537 1029">F. U.S. Territory or Possession</td> <td data-bbox="537 1043 894 1071">R. Small Business</td> </tr> <tr> <td data-bbox="134 1029 537 1117">G. Independent School District</td> <td data-bbox="537 1071 894 1117">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="134 1117 537 1186">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="537 1117 894 1186">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="134 1186 537 1262">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="537 1186 894 1262">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="134 1262 537 1337">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="537 1262 894 1337">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="134 1337 537 1386">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="537 1337 894 1386">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="134 1386 537 1434">L. Public/Indian Housing Authority</td> <td data-bbox="537 1386 894 1434">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Nonprofit	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)		
A. State Government	M. Nonprofit																										
B. County Government	N. Nonprofit																										
C. City or Township Government	O. Private Institution of Higher Education																										
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K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity																										
L. Public/Indian Housing Authority	X. Other (specify)																										

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 0348-0044

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Utah MFCU	93.775	\$	\$	\$ 1,701,082.00	\$ 567,027.00	\$ 2,268,109.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 1,701,082.00	\$ 567,027.00	\$ 2,268,109.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)		
a. Personnel	\$ 965,631.00	\$	\$	\$	\$ 965,631.00
b. Fringe Benefits	601,869.00				601,869.00
c. Travel	50,821.00				50,821.00
d. Equipment	0.00				0.00
e. Supplies	66,000.00				66,000.00
f. Contractual	18,018.00				18,018.00
g. Construction	0.00				0.00
h. Other	246,000.00				246,000.00
i. Total Direct Charges (sum of 6a-6h)	1,948,339.00	0.00	0.00	0.00	1,948,339.00
j. Indirect Charges	319,770.00				319,770.00
k. TOTALS (sum of 6i and 6j)	\$ 2,268,109.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 2,268,109.00

7. Program Income	\$	\$	\$	\$	\$ 0.00
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**Authorized for Local Reproduction**

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Utah MFCU	\$ 567,027.00	\$	\$	\$ 567,027.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL (sum of lines 8-11)	\$ 567,027.00	\$ 0.00	\$ 0.00	\$ 567,027.00

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 1,701,082.00	\$ 425,271.00	\$ 425,271.00	\$ 425,270.00	\$ 425,270.00
14. Non-Federal	567,027.00	141,757.00	141,757.00	141,757.00	141,756.00
15. TOTAL (sum of lines 13 and 14)	\$ 2,268,109.00	\$ 567,028.00	\$ 567,028.00	\$ 567,027.00	\$ 567,026.00

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. Utah MFCU	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges:	22. Indirect Charges: Provisional 1,567,500 / 319,770
23. Remarks:	

## INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

*For new applications*, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Line 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

## INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal Resources

**Lines 8-11** Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE Director	
APPLICANT ORGANIZATION Utah MFCU		DATE SUBMITTED December 12, 2016



# Western Regional

CHILDREN'S ADVOCACY CENTER

## Addendum to Utah Children's Justice Program MOU July 1, 2016 – June 30, 2017

Congratulations! Your Chapter Impact Stipend in the amount of \$15000 has been approved. Per your application, these funds are to be used for the following items:

Travel: \$1505  
Training: \$13,000  
Other: \$495

If you need to make adjustments in this award, please contact Maureen Fitzgerald, Project Director, to submit a budget revision. Maureen can be reached at 719-325-6858 or [mfitzgerald@safepassagecac.org](mailto:mfitzgerald@safepassagecac.org). An approved budget revision is required prior to incurring expenses other than those listed above. Budget revision forms are available on our website: [www.westernregionalcac.org/forms](http://www.westernregionalcac.org/forms)

These funds must be spent no later than June 30, 2017 and a reimbursement request submitted no later than July 15, 2017. A copy of the WRCAC Allowable Use of Funds policy is attached to review prior to incurring expenses.

You can request reimbursement at any time. We ask that for any expenditure you incur by September 15, 2016, you submit a request for reimbursement no later than September 30, 2016.

These are federal funds and as such cannot be used in any way for lobbying or fundraising. If you have a question as to whether or not an activity constitutes fundraising or lobbying, please contact us.

In addition to the funds awarded, WRCAC will provide the following services:

State Specific Training	TBD
2016 Regional Summit	WRCAC will reimburse the Chapter for the costs of travel, lodging, and per diem (at government rate) for two people to attend the Regional Chapter Summit.
Customized Training/CACs	WRCAC will develop customized training for established and developing centers to help Chapters meet their growth and development plans. When training is requested directly from the center or community, WRCAC will notify the Chapter and coordinate services.
Customized Training/Chapter	WRCAC will develop and deliver customized training to Chapter board and staff as requested.

Please return a signed copy of this document to Wilene Lampert, Executive Director at [wlampert@safepassagecac.org](mailto:wlampert@safepassagecac.org) by July 15, 2016. If you have any questions, please contact Maureen Fitzgerald, Project Director at [mfitzgerald@safepassagecac.org](mailto:mfitzgerald@safepassagecac.org) or by phone at 719-325-6858.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print name and title:

\_\_\_\_\_



# Western Regional

CHILDREN'S ADVOCACY CENTER

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Signature:  \_\_\_\_\_

Date: 7/21/16

Print name and title:

Tracy Tabet, CJC Program Administrator

1. DATE ISSUED MM/DD/YYYY 05/31/2016  
 2. CFDA NO. 93.094  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 301A,311BC,317K2(42USC241A,243BC247BK2)

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU58DP004869-04-00  
 Formerly 5U58DP004869-02  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 07/01/2013 Through 06/30/2017

7. BUDGET PERIOD MM/DD/YYYY  
 From 07/01/2016 Through 06/30/2017

8. TITLE OF PROJECT (OR PROGRAM)  
 UTAH BEWISE PROGRAM

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Ms. Lynette Phillips  
 288 North 1460 W  
 Salt Lake City, UT 84116-3231  
 Phone: 801-597-6080

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 DIANE MANHEIM  
 4775 Buford Highway  
 Chamblee, GA 30341  
 Phone: 770-488-5302

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)

I Financial Assistance from the Federal Awarding Agency Only		<b>I</b>
II Total project costs including grant funds and all other financial participation		
a. Salaries and Wages .....	301,780.00	
b. Fringe Benefits .....	202,808.00	
c. Total Personnel Costs .....	504,588.00	
d. Equipment .....	0.00	
e. Supplies .....	90,350.00	
f. Travel .....	14,685.00	
g. Construction .....	0.00	
h. Other .....	90,718.00	
i. Contractual .....	1,385,089.00	
j. TOTAL DIRECT COSTS →	2,085,430.00	
k. INDIRECT COSTS	0.00	
l. TOTAL APPROVED BUDGET	2,085,430.00	
m. Federal Share	2,085,430.00	
n. Non-Federal Share	700,000.00	

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from item 11m)	2,085,430.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	2,085,430.00
13. Total Federal Funds Awarded to Date for Project Period	6,142,524.00

14. RECOMMENDED FUTURE SUPPORT  
 (Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 5		d. 8	
b. 6		e. 9	
c. 7		f. 10	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.  
 In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Roslyn Curington, Grants Management Officer

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939ZRBH	b. 004869DP14	c. DP	d. \$2,085,430.00	e. 75-16-0948
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 05/31/2016
GRANT NO. 5 NU58DP004869-04-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU58DP004869-04-00

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1. Terms and Conditions
2. Technical Review



Funding Opportunity Announcement (FOA) Number: DP13-1302

Award Number: NU58DP004869-04

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DP13-1302, entitled Well Integrated Screening and Evaluation for Women Across the Nation (WISEWOMAN), and application dated February 26, 2016, and revised budget dated May 6, 2016 as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of \$2,085,430 is approved for the Year 04 budget period, which is July 1, 2016 through June 30, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to the Grants Management Specialist (GMS) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, August 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project. Grantees should send responses listed in the "Additional Program Guidance" section directly to their assigned Project Officer within 45 days of the start date of the award. The due date for requested information listed in this section is August 15, 2016.

**Disapproved costs:** Funds in the amount of \$20,000 have been disapproved for the proposed Environmental Approaches Contract. These funds have been disapproved because the supporting itemized budget was not included with the application.

**Redirection of funds:** Funds in the amount of \$1,500 proposed in the Contractual category for Training Room/Professional Development for WW Partners has been redirected to the Other cost category.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## FUNDING RESTRICTIONS AND LIMITATIONS

**Funding Opportunity Announcement (FOA) Reminders on Publications and Presentations:** Grantees are reminded that, at minimum, all publications and presentations using WISEWOMAN data be revised by CDC before they are disseminated.

**Indirect Costs:** Not applicable

\*\*Public Law 101-354: Administrative expenses are in lieu of and replace indirect costs (Section 1504f of PHS Acts, as amended).

**Matching Funds Requirement:** To maintain the \$3:\$1 Non-Federal Match required by Section 1502(a) and (b)(1), (2), and (3) of the PHS Act, the level of Non-Federal financial participation is \$695,143. This amount is required ration of cost sharing. The amount reflected on this Notice of Award is \$700,000. This is the amount submitted in your budget and it exceeds the required ratio of match. This amount is reflected in the Non-Federal Share section of your award.

Matching is calculated on the basis of the federal award amount and is comprised of grantee contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the grantee via their Federal Financial Report). The grantee must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The grantee may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a grantee requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the grantee must provide evidence with the carryover request.

**Maintenance of Effort (MOE) Requirement:** MOE represents an applicant/grantee historical level of contributions related to Federal programmatic activities which have been made prior to the receipt of Federal funds "expenditures (money spent)". MOE is used as an indicator of non-federal support for public health security before the infusion of Federal funds. These expenditures are calculated by the grantee without reference to any Federal funding that also may have contributed to such programmatic activities in the past. Awardees must stipulate the total dollar amount in their grant applications. Grantees must be able to account for MOE separately from accounting for Federal funds and separately from accounting for any matching funds requirement; this accounting is subject to ongoing monitoring, oversight, and audit. MOE may not include any matching funds requirement.

### **Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)**

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat

the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at [Grants Additional Requirements](#) and Anti Lobbying Restrictions for CDC Grantees at [Anti-Lobbying Restrictions for CDC Grantees July 2012](#)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period, September 30, 2017. Additional information on the reporting timeframe will be provided at a later date. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted through [eRA Commons](#) no later than 90 days after the end of the project period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting [grants\\_hhs568](#). If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

**Audit Requirement:** Domestic Organizations (*including US-based organizations implementing projects with*

**foreign components):** An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System  
[Electronic Submission](#)

AND

Procurement & Grants Office, Risk Management & Compliance Activity\_  
Electronic Copy to: [OFR.Audit.Resolution@cdc.gov](mailto:OFR.Audit.Resolution@cdc.gov)

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [fsrs.gov](http://fsrs.gov)

FFATA: [fsrs.gov](http://fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [fsrs.gov](http://fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [fsrs.gov](http://fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security

and Exchange Commission total compensation filings at [U.S. Securities and Exchange Commission](http://www.sec.gov) ).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at [U.S. Security and Exchange Commission total compensation filings Answers](http://www.sec.gov)).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers

a contract.

- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at [HHS Policies and Guidance](#). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests no later than 120 days prior to this budget period's end date. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)

- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at: [Prior Approval Requests](#)

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, NU58DP004869, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the



CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[Security Management Act \(FISMA\)](#)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of

Contractor Employee Whistleblower Protections,” of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “subgrant,” or “subgrantee”):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

- (1) DoD, NASA, and the Coast Guard; or
- (2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-
  - (i) Relates to an activity of an element of the intelligence community; or
  - (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## **PAYMENT INFORMATION**

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: [Department of Health and Human Services \(HHS\) Payment Management System \(PMS\)](#).

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch: [University and Non-Profit Payment Branch](#):
- Governmental and Tribal Payment Branch: [Government and Tribal Payment Branch](#)
- Cross Servicing Payment Branch: [Cross Service Payment Branch](#)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant

awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

All award funds must be tracked and reported separately. Funds must be used in support of approved activities in the FOA and the approved application.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: 004869DP14  
Subaccount Title: DP131302NALPUBADHD14

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

Diane Manheim, Project Officer  
Centers for Disease Control and Prevention  
Division for Heart Disease and Stroke Prevention (WISEWOMAN)  
4774 Buford Hwy  
Chamblee, GA 30341  
Telephone: 770-488-5302  
Email: [dmanheim@cdc.gov](mailto:dmanheim@cdc.gov)

**Grants Management Specialist Contact:**

Ebony Holt, Grants Management Specialist/Officer  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
2920 Brandywine Rd. MS E-09  
Atlanta, GA 30341  
Telephone: 770-488-5872  
Email: [eholt@cdc.gov](mailto:eholt@cdc.gov)

**Grants Management Officer Contact:**

Roslyn Curington, Team Leader  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
2920 Brandywine Rd. MS E-09  
Atlanta, GA 30341  
Telephone: 770-488-2834  
Email: [rcurington@cdc.gov](mailto:rcurington@cdc.gov)

**WISEWOMAN PROGRAM  
FUNDING OPPORTUNITY ANNOUNCEMENT CDC-RFA-DP13-1302**

**TECHNICAL REVIEW SUMMARY STATEMENT**

**Application Number:** 1U58DP004869

**Principal Investigator/Program Director:** Kalynn Filon

**Organization:** Utah Department of Public Health

**City, State:** Salt Lake City, Utah

**Amount Requested:** \$2,085,430

**Project Year:** 4 from July 1, 2016 to June 30, 2017

**Recommendation:** Approve

**Date Reviewed:** 03/29/2016

**DESCRIPTION:**

The Utah WISEWOMAN program (BeWise) requests \$2,085,430 (an increase from \$1,750,095) to provide cardiovascular screening and risk reduction counseling and healthy behavior support options to 4,140 screenings (an increase of 1,040 screening) in 2016-2017. The program reported screening 1,917 women in the first half of year 3. The BeWise program focuses on reducing cardiovascular disease risk factors among high-risk women by 1) assuring that cardiovascular screening is provided to women ages 40-64 who are participants in the National Breast and Cervical Cancer Early Detection Program (NBCCEDP), 2) working with providers and community-based organizations to provide evidence-based prevention and healthy behavior support services to interested participants, 3) improving the management and control of hypertension by integrating proven health system-based approaches and strengthening community-clinical linkages, and 4) gathering and reporting program related evaluation data, including impact measures.

Salt Lake City Health Department (SLCHD), a major screening partner, stopped screening BeWise patients in November 2015. To mitigate the effect of this on participants and the program, a pre-registration interface was added to the database. The program adjusted the database to allow BeWise staff to pre-register participants that would have been seen at SLCHD and then refer them to other contracted providers in the surrounding area. A system that generates a referral packet, a summary of participants' information collected during pre-registration and any eligible services was also created in the database. The electronic data collection system also has in place a patient navigation feature which is used to provide appropriate case management to patients who present with alert values during their screening

## Technical Review Summary

visit. These features contribute to the success of the BeWise data system in responding to changes and developing timely quality assurance processes.

### **PROJECT STAFF:**

The BeWise Program currently has no vacant positions. Several changes in staff have occurred in the past year, and new staff have been hired to help assure quality oversight of clinical and healthy behavior support services. The staff positions plan for year 4 include:

Lynette Phillips	Program Director/Principle Investigator	5%
Kalynn Filion	Program Manager	100%
Titus Oyeladun	Epidemiologist/Evaluator/Data Manager	100%
Maritza Arce-Larreta	Clinical Coordinator	5%
Vanonda Kearn	DCP Financial Technician	5%
Rachel Black	Health Education/Media Specialist	25%
Banning Leonard	Technical Writer	10%
Annie Coyle	Office Support	15%
Stephanie Wilkinson	Lifestyle Program Specialist, HPS III	100%
Lily Doyle	Accounting Technician/Billing	15%
Anna Testa	Nurse, RN III	100%
Joannah Sparks	Business Analyst	10%
Ana Vasquez	Office Specialist II/ Data / Patient Navigation	100%
	<b>Total Positions:</b>	<b>5.9 FTE</b>

### **SUMMARY OF STRENGTHS:**

- Utah WISEWOMAN provides a clearly written work plan, budget, and executive summary outlining plans. The program has strong systems in place to manage this grant within administrative, fiscal, and programmatic areas.
- The performance measure results from year 2 (and year 3 on an interim basis) show high levels of success in meeting key program success indicators.
- The program has developed a data system and well-trained workforce to activate participants and successfully engage them in health coaching (HC) services. In year 2, over 99% of participants begin HC and 78% of women completed the minimum numbers of sessions needed to complete the program.
- BeWise has instituted a number of activities to address uncontrolled hypertension such as focusing on accurate blood pressure measurement, developing tracking system for women with abnormal blood pressure values, and designing quality reports which provide regular feedback to clinic staff and monitor key indicators.
- During year 3, a major screening partner cancelled its WISEWOMAN contract which necessitated the program to explore additional options for screening partners in the area in which they served. The program has successfully navigated many of the challenges associated with the required changes, and continues to meet screening targets.
- Evaluation areas 1 and 3 have the potential to demonstrate the impact of the program.

**SUMMARY OF WEAKNESSES:**

In the year 4 work plan:

- it appears activities in 4.2 and 4.5 were inadvertently reversed; the program should revise the activities in these two areas,
- objective 3.1.4, “Develop tool kit for clinics to use for hypertension control quality improvement purposes,” was the same objective as in year 3; the program should update this objective to outline how hypertension control kits will be used,
- activities for Domain 2 are too generic; for example 2.1.1, “Coordinate with internal and external partners to identify community resources that support cardiovascular health,” and 2.2.2, “Coordinate with external partners to establish and link clients to community resources,” do not have enough specificity to assure objectives can be monitored,
- evaluation area 2 is missing outcome questions that relate lifestyle support program (LSP)/HC participation to outcomes, and
- the dissemination and communication plan does not include information on using evaluation results for program improvement and program planning.

**RECOMMENDATION(S):**

The Program should work with the Project Officer to:

- revise activities in 4.2 and 4.5,
- update activity 3.1.4, and
- develop more specific activities for objectives in Domain 2.

The program should work with the Evaluation Specialist to:

- revise evaluation area 2 to include an outcome evaluation question that ties LSP/HC participation to outcomes, and
- revise the dissemination and communication plan to include information on using evaluation results for program improvement and program planning.

**BUDGET:**

- The program did not report unobligated funds status on the 424A.
- The budget is clearly delineated, appropriately justified, and aligned with activities.
- The match minimum is met.

**ADDITIONAL PROGRAM GUIDANCE:**

- It is expected that the program will conduct 4,140 screenings in 2016-17.
- The program would benefit from adding more definitive dates to some activities such as date range for annual provider training or securing contracts.
- The program outlines several new LSP options in the work plan. The program should be sure to create templates for approval for these options as soon as possible so offerings can begin with start of the fiscal year.

**THE GRANTEE SHOULD SUBMIT THE FOLLOWING:**

**Response to Technical Review**



## Technical Review Summary

- Recipient is asked to submit responses to the “Weaknesses” identified in the Technical Review Summary Statement to PGO within 30 days after receipt of the Notice of Grant Award. Responses should be reflective only of the weaknesses identified and not a resubmission of the entire application.
- Recipient is asked to submit responses to the “Additional Program Guidance” identified in the Technical Review Summary Statement to their Project Officer within 45 days after receipt of the Notice of Grant Award. No PGO response is necessary. Responses should be reflective only of the guidance identified and not a resubmission of the entire application.

1. DATE ISSUED MM/DD/YYYY 07/22/2016  
 2. CFDA NO. 93.079  
 3. ASSISTANCE TYPE Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 5 NU87PS004204-04-00  
 Formerly 5U87PS004204-03  
 5. ACTION TYPE Non-Competing Continuation

6. PROJECT PERIOD MM/DD/YYYY  
 From 08/01/2013 Through 07/31/2018

7. BUDGET PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 301A311BANDC317K242U.S.C.241A,243B/C247B

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah administration of the Youth Risk Behavior and School Health Profiles survey

9a. GRANTEE NAME AND ADDRESS  
 Utah Department of Health  
 PO BOX 144003  
 Salt Lake City, UT 84114-4003

9b. GRANTEE PROJECT DIRECTOR  
 Mr. MICHAEL FRIEDRICHS  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231  
 Phone: 801-538-6244

10a. GRANTEE AUTHORIZING OFFICIAL  
 Ms. Shari A. Watkins  
 288 North 1460 West  
 Salt Lake City, UT 84116-2101  
 Phone: 801-538-6601

10b. FEDERAL PROJECT OFFICER  
 Shari Shanklin  
 1600 Clifton Rd  
 Atlanta, GA 30333  
 Phone: 800-232-4636

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	27,637.00
b. Fringe Benefits .....	13,998.00
c. Total Personnel Costs .....	41,635.00
d. Equipment .....	0.00
e. Supplies .....	300.00
f. Travel .....	0.00
g. Construction .....	0.00
h. Other .....	1,720.00
i. Contractual .....	26,000.00
j. TOTAL DIRECT COSTS →	69,655.00
k. INDIRECT COSTS	5,288.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>74,943.00</b>
m. Federal Share	74,943.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	74,943.00
b. Less Unobligated Balance From Prior Budget Periods	529.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>74,414.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>247,251.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 5		d. 8	
b. 6		e. 9	
c. 7		f. 10	

<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Edna Green, Grants Management Officer**

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545C1	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 02	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-93905SD	b. 004204PS14	c. 93.079	d. PS	e. \$17,971.00	f. 75-16-0948
22. a. 6-939ZRJH	b. 004204PS14	c. 93.079	d. PS	e. \$56,443.00	f. 75-16-0948
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/22/2016
GRANT NO. 5 NU87PS004204-04-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Utah Department of Health

5 NU87PS004204-04-00

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1. 4204 TERMS AND CONDITIONS
2. 4204 Technical Review

Funding Opportunity Announcement (FOA) Number: PS13-1308

Award Number: U65PS004204-04

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## AWARD INFORMATION

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number PS13-1308, entitled Promoting Adolescent Health Through School-Based HIV/STD Prevention and School-Based Surveillance, and application dated March 29, 2016, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations, Executive Orders, and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**New Approved Funding:** Funding in the amount of **\$74,414** is approved for the Year 2016 budget period, which is August 1, 2016 through July 31, 2017. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

**Use of Unobligated Funds:** This NoA includes use of Year 2 unobligated funds in the amount of **\$529**, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year 2 Federal Financial Report (FFR) dated October 28, 2015. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Total funds Approved is \$74,943.**

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Technical Review Statement Response Requirement:** The review comments on the Annual Performance Report are provided as part of this award. A response to the recommendations in these statements must be submitted to the Project Officer no later than 30 days from the budget period start date. Failure to submit the required information by the due date, September 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

## FUNDING RESTRICTIONS AND LIMITATIONS

### INDIRECT COSTS

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.70% of the base, which includes, total direct cost excluding capital expenditures, (building, individual items of equipment; alterations and renovations), that portion of each individual award in excess of \$25,000, follow through funds and WIC food costs. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018.

### Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)

A. Cap on Salaries (Div. G, Title II, Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. G, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Div. G, Title V, Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Div. G, Title V, Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Div. G, Title V, Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of the calendar quarter in which the budget period ends. The FFR for this budget period is due by December 31, 2017. Reporting timeframe is August 1, 2016 through July 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email.

[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, April 1, 2017, and serves as the continuing application. This report should include the information specified in the FOA. Specific dates and guidance will be provided by the GMS/GMO.

### **Audit Requirement:**

Domestic Organizations (*including US-based organizations implementing projects with foreign components*): An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to: [PGO.Audit.Resolution@cdc.gov](mailto:PGO.Audit.Resolution@cdc.gov)

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-

compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm?explorer.event=true>).



Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
- Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
- Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award;

and is accountable to the grantee for the use of the Federal funds provided by the sub-award.

- Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance. In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**HIV Program Review Panel Requirement:** All written materials, audiovisual materials, pictorials, questionnaires, survey instruments, websites, educational curricula and other relevant program materials must be reviewed and approved by an established program review panel. A list of reviewed materials and approval dates must be submitted to the CDC Grants Management Specialist identified in the CDC Roles and Responsibilities section of this NoA.

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by **March 2, 2017** or no later than 120 days prior to this budget period's end date. Additionally, any requests involving funding issues must include an itemized budget, cover letter and a narrative justification of the request.

The following types of requests require prior approval.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope

- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 45 CFR Part 75.308, CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, U65PS004941, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

1. percentage of the total costs of the program or project which will be financed with Federal money
2. dollar amount of Federal funds for the project or program, and
3. percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term “contract,” “contractor,” “subcontract,” or “subcontractor” for the purpose of this term and condition, should be read as “grant,” “grantee,” “subgrant,” or “subgrantee”):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

- (1) DoD, NASA, and the Coast Guard; or
- (2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-
  - (i) Relates to an activity of an element of the intelligence community; or
  - (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

“Abuse of authority” means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

“Inspector General” means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.
- (6) A court or grand jury.
- (7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of PMS staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/governmental\\_and\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/governmental_and_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/cross\\_servicing.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/cross_servicing.aspx?explorer.event=true)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount

in the PMS, herein identified as the "P Account". A P Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

**The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.**

**Grant Document Number: U87PS004204.**

**Subaccount Title: PS131308PROMADLSCB14**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## **CDC ROLES AND RESPONSIBILITIES**

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

GMS Contact: See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Office of Grant Services Personnel:**

Manal Ali Grants Management Specialist  
Centers for Disease Control and Prevention (CDC)  
Office of the Chief Operating Officer (OCOO)  
Infectious Disease Services Branch  
2920 Brandywine Rd, MS E-15  
Atlanta, GA 30341-4146  
**Phone: 770-488-2706**  
**E-mail: [HFO8@CDC.GOV](mailto:HFO8@CDC.GOV)**

Edna Green, GMO  
Grants Management Officer  
Centers for Disease Control and Prevention (CDC)  
Office of the Chief Operating Officer (OCOO)  
Infectious Disease Services Branch  
2920 Brandywine Road, NE, Mail-Stop E-15,  
Atlanta, GA 30341-4146  
**Phone: (770) 488-2858**  
**E-mail: [ecg4@cdc.gov](mailto:ecg4@cdc.gov)**



**FY2017 – Funding Opportunity Announcement PS13-1308**  
**Division of Adolescent and School Health**  
*Promoting Adolescent Health through School-Based HIV/STD Prevention  
and School-Based Surveillance*  
**Technical Review Form**

Grantee's Name: Utah Department of Health

Grantee #: U87/PS004204-04

Strategy 1: School-Based Surveillance

Requested Amount: \$ 74,943

Recommended Award Amount: \$ 74,943

Reviewer's Name: Shari L. Shanklin

Signature:



Date: May 30, 2016

After a complete review of the PS13-1308 Year 4 Annual Performance Report, the Grantee is to submit the following:

**Year 4 Budget**

- Revised Budget is **NOT** needed.  
 Revised Budget **IS** needed.

**Year 4 Work Plan**

- Revised Work Plan is **NOT** needed.  
 Revised Work Plan **IS** needed.

**Response to Technical Review**

- The Grantee is asked to work with their CDC/DASH Project Officer to address weaknesses and recommendations identified in the PS13-1308/Yr4 Technical Review through monthly conference calls and the submission of a written email response to your CDC/DASH Project Officer within 30 days of receipt of the technical review.

**Summary of Major Strengths**

- The Year 4 Work Plan captures the necessary activities needed to complete Goals 1 and 2 planned for year 4 – the administration of the 2017 YRBS and dissemination of the School Health Profiles data.
- Grantee plans to collaborate closely with the 1305 Chronic team and several other interested partners.
- The Year 4 Budget supports the activities outlined in the Year 4 Work Plan.

### **Summary of Major Weaknesses**

- No major weaknesses noted.

### **Recommendations**

- Program Consultant recommends that grantee require their contractor to cc them when they send the tracking form to Westat every two weeks. It will keep the grantee informed.
- 

### **Other Relevant Comments**

- A Year 3 Work Plan Status Report for the first 6 months was submitted, reflecting success in meeting year three objectives so far.
- Sexual Minority Questions included in YRBS: No
- Current Indirect Cost Rate Agreement provided: Yes
- Program consultant would like to see examples of the YRBS and Profiles products used in dissemination of the data and results.

**Research Determination** – PS13-1308 is only for non-research activities supported by CDC. For the definition of research, please see the CDC Web site at the following Internet address:

<http://www.cdc.gov/od/ads/opspoll1.htm>

- No research activities have been proposed  
 Research activities have been proposed, but were disapproved/disallowed

1. DATE ISSUED MM/DD/YYYY 07/29/2016  
 2. CFDA NO. 93.073  
 3. ASSISTANCE TYPE Cooperative Agreement

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

CDC Office of Financial Resources

2920 Brandywine Road  
 Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
 [AWARD AUTHORITY NOT DEFINED FOR DD16-1603]

1a. SUPERSEDES AWARD NOTICE dated  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. 1 NU50DD000027-01-00 Formerly  
 5. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2021

7. BUDGET PERIOD MM/DD/YYYY  
 From 08/01/2016 Through 07/31/2021

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah microcephaly surveillance, intervention, and referral to services for infants linked to Zika Virus

9a. GRANTEE NAME AND ADDRESS  
 Department of Health Utah  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Mrs. Amy Nance  
 PO Box 142001  
 Family Health and Preparedness  
 Salt Lake City, UT 84114-2001  
 Phone: 801-883-4661

10a. GRANTEE AUTHORIZING OFFICIAL  
 Mrs. Shari Watkins  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6936

10b. FEDERAL PROJECT OFFICER  
 William Paradies  
 Centers for Disease Control and Prevention  
 CCHP/NCBDDD/DBDDD/BDB  
 Atlanta, GA 30333  
 Phone: 404-498-3919

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <b>I</b>	
a. Salaries and Wages .....	96,253.00
b. Fringe Benefits .....	54,602.00
c. Total Personnel Costs .....	150,855.00
d. Equipment .....	1,699.00
e. Supplies .....	5,614.00
f. Travel .....	0.00
g. Construction .....	0.00
h. Other .....	10,531.00
i. Contractual .....	12,141.00
j. TOTAL DIRECT COSTS →	180,840.00
k. INDIRECT COSTS	19,160.00
l. TOTAL APPROVED BUDGET	200,000.00
m. Federal Share	200,000.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION	
a. Amount of Federal Financial Assistance (from item 11m)	200,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	200,000.00
13. Total Federal Funds Awarded to Date for Project Period	200,000.00

14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:		<b>b</b>
a. DEDUCTION		
b. ADDITIONAL COSTS		
c. MATCHING		
d. OTHER RESEARCH (Add / Deduct Option)		
e. OTHER (See REMARKS)		

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: Pamela Render

17. OBJ CLASS 41.51	18a. VENDOR CODE 1876000545J3	18b. EIN 876000545	19. DUNS 959347972	20. CONG. DIST. 00	
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 6-939061A	b. 000027DD16	c. 93.073	d. DD	e. \$100,000.00	f. 75-16-0956
22. a. 6-93906FV	b. 000027DD16	c. 93.073	d. DD	e. \$100,000.00	f. 75-1519-0943
23. a.	b.	c.	d.	e.	f.

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 07/29/2016
GRANT NO. 1 NU50DD000027-01-00	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Department of Health Utah

1 NU50DD000027-01-00

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1. Year 01 Terms and conditions
2. Year 01 Summary Statement

Funding Opportunity Announcement (FOA) Number: DD16-1605

Award Number: **1 NU50 DD 000027-01**

Award Type: Cooperative Agreement

Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards

## **45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92**

### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DD16-1605: Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes linked with the Zika virus and application dated June 30, 2016, as may be amended, which are hereby made a part of this Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Note:** In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS GPS, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

**Approved Funding:** Funding in the amount of **\$200,000** is approved for the Year **01** budget period, which is **August 01, 2016** through **July 31, 2017**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

**Budget Revision Requirement:** By **September 01, 2016** the grantee must submit the following to the GMS via email:

A revised budget and matching 424A form. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable federal salary cap.

The budget justification must be prepared in the general form, format, and to the level of detail as described in the Guidance. The sample budget guidance is provided on CDC's internet at:

[www.cdc.gov/grants/documents/budget\\_preparation\\_guidelines\\_8-2-12.docx](http://www.cdc.gov/grants/documents/budget_preparation_guidelines_8-2-12.docx)

The submission must bear the signature of an authorized official of the business office of the grantee organization or the principal investigator.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the **Staff Contacts section of this notice before the due date.**

**Note:** Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **September 01, 2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in

accordance with the Addition alternative.

**Addition alternative:** Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

**Note:** The disposition of program income must have written prior approval from the GMO.

## FUNDING RESTRICTIONS AND LIMITATIONS

### Indirect Costs:

Indirect costs are approved based on the Indirect Cost Rate Agreement dated August 12, 2015, which calculates indirect costs as follows, a Provisional is approved at a rate of 12.7% of the base, which includes, direct salaries and wages including all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2016 to June 30, 2018

A. Cap on Salaries (Sec. 203): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS contract or order; it merely limits the portion of that salary that may be paid with Federal funds.

B. Gun Control Prohibition (Div. H, Title II, Sec. 217): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

C. Lobbying Restrictions (Sec. 503):

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 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, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.
- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at <http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

D. Needle Exchange (Sec. 521): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

E. Blocking access to pornography (Sec. 526): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. The grantee also has a responsibility to ensure sub-recipients expend funds in compliance with applicable federal laws and regulations. Furthermore, it is the responsibility of the grantee to ensure rent is a legitimate direct cost line item, which the grantee has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as direct cost, the grantee must provide a narrative justification, which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist (GMS) identified in the CDC Contacts for this award.

**Trafficking In Persons:** This award is subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).

**Cancel Year:** 31 U.S.C. Part 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30<sup>th</sup> of the 5<sup>th</sup> fiscal year after the period of availability for obligation of a fixed appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

Fiscal Year (FY) 2016 funds will expire September 30, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 30, 2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be to your grants management specialist (GMS) no later than 90 days after the end of budget period. The FFR for this budget period is due to the GMS/GMO by **October 30, 2017**. Reporting timeframe is **August 01, 2016** through **July 31, 2017**.

The FFR may be downloaded from the following website below and submitted to the GMS via email.  
[https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf)

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, the grantee is required to contact the Grants Officer listed in the contacts section of this notice before the due date.

FFR (SF-425) instructions for CDC Grantees are available at <http://grants.nih.gov/grants/forms.htm>. For further information, contact GrantsInfo@nih.gov. Additional resources concerning the eFSR/FFR system, including a User Guide and an on-line demonstration, can be found on the eRA Commons Support Page: <http://www.cdc.gov/od/pgo/funding/grants/eramain.shtm>.

**Performance Reporting:** The annual Performance Report is due 90 days after the end of the final budget period. Please reference the closeout requirements which follows in this NOA.



**Audit Requirement:** Domestic Organizations: An organization that expends \$750,000 or more in a fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 45 CFR Part 75. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to

Federal Audit Clearing House Internet Data Entry System

Electronic Submission: [https://harvester.census.gov/facides/\(S\(0vkw1zaelyzjibnahocga5i0\)\)/account/login.aspx](https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx)

AND

Office of Grants Services, Financial Assessment and Audit Resolution Unit

Electronic Copy to:

[OGS.Audit.Resolution@cdc.gov](mailto:OGS.Audit.Resolution@cdc.gov) (CDC Office of Grants Services)

After receipt of the audit report, CDC will resolve findings by issuing Final Determination Letters

Audit requirements for Subrecipients to whom 45 CFR 75 Subpart F applies: The grantee must ensure that the subrecipients receiving CDC funds also meet these requirements. The grantee must also ensure to take appropriate corrective action within six months after receipt of the subrecipient audit report in instances of non-compliance with applicable Federal law and regulations (45 CFR 75 Subpart F and HHS Grants Policy Statement). The grantee may consider whether subrecipient audits necessitate adjustment of the grantee's own accounting records. If a subrecipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of subrecipient activities. The grantee shall require each subrecipient to permit the independent auditor access to the subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 45 CFR Part 75 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than \$25,000.

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

2 CFR Part 170: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl)

FFATA: [www.fsrs.gov](http://www.fsrs.gov).

Reporting of First-Tier Sub-awards

Applicability: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity.

Reporting: Report each obligating action of this award term to [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

- The total Federal funding authorized to date under this award is \$25,000 or more;
- In the preceding fiscal year, you received—
  - 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

Report executive total compensation as part of your registration profile at <http://www.sam.gov>. Reports should be made at the end of the month following the month in which this award is made and annually thereafter.

Total Compensation of Sub-recipient Executives: Unless you are exempt (gross income from all sources reported in last tax return is under \$300,000), for each first-tier sub-recipient under this award, you must report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

- In the sub-recipient's preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and
  - The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1st and 31st), you must report any required compensation information of the sub-recipient by November 30th of that year.

Definitions:

- Entity means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;

- Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
- Executive means officers, managing partners, or any other employees in management positions.
  - Sub-award: a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.
  - Sub-recipient means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.
  - Total compensation means the cash and non-cash dollar value earned by the executive during the grantee's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
    - Salary and bonus
    - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
    - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
    - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
    - Above-market earnings on deferred compensation which is not tax-qualified.
    - Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## GENERAL REQUIREMENTS

**Travel Cost:** In accordance with HHS Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the NoA. To prevent disallowance of cost, the grantee is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Grantees approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies and guidance, which can be found at

[http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol\\_memo.html](http://www.hhs.gov/asfr/ogapa/acquisition/effspendpol_memo.html). In addition, costs must be proposed in accordance with grantee approved policies and a determination of reasonableness has been performed by the grantees. Grantee approved policies must meet the requirements of 45 CFR Part 75, as applicable.

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests by **March 30, 2017** or no later than 120 days prior to this budget period's end date. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval unless waived by approved expanded authorities (see Award Information section).

- Lift funding restriction, withholding, or disallowance
- Redirection of funds
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the most recently approved budget
- Apply for supplemental funds
- Response to the Objective/Technical Review Statement
- Change in key personnel
- Extensions
- Conferences or meetings that exceed cost threshold

Templates for prior approval requests can be found at:

<http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html>

**Key Personnel:** In accordance with 2 CFR Parts 200.308 and 215.25(c)(2) & (3), CDC grantees must obtain prior approval from CDC for (1) change in the project director/principal investigator, business official, authorized organizational representative or other key persons specified in the FOA, application or award document; and (2) the disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Inventions:** Acceptance of grant funds obligates grantees to comply with the standard patent rights clause in 37 CFR Part 401.14.

**Publications:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **1 NU50 DD00027-01**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

**Acknowledgment Of Federal Support:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, including and not limited to State and local governments and grantees of Federal research grants, shall clearly state:

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and
- percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work

developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient's submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient's submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Disclaimer for Conference/Meeting/Seminar Materials:** Disclaimers for conferences/meetings, etc. and/or publications: If a conference/meeting/seminar is funded by a grant, cooperative agreement, sub-grant and/or a contract the grantee must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. 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 the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logo Use for Conference and Other Materials:** Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. Part 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the HHS Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). Accordingly, neither the HHS nor the CDC logo can be used by the grantee without the express, written consent of either the CDC Project Officer or the CDC Grants Management Officer. It is the responsibility of the grantee to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**Equipment and Products:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with grantee policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

**Federal Information Security Management Act (FISMA):** All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf

of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** Grantees are hereby given notice that the 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013), applies to this award.

#### Federal Acquisition Regulations

As promulgated in the Federal Register, the relevant portions of 48 CFR section 3.908 read as follows (note that use of the term "contract," "contractor," "subcontract," or "subcontractor" for the purpose of this term and condition, should be read as "grant," "grantee," "subgrant," or "subgrantee"):

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

(a) This section implements [41 U.S.C. 4712](#).

(b) This section does not apply to-

- (1) DoD, NASA, and the Coast Guard; or
- (2) Any element of the intelligence community, as defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 3003(4)). This section does not apply to any disclosure made by an employee of a contractor or subcontractor of an element of the intelligence community if such disclosure-
  - (i) Relates to an activity of an element of the intelligence community; or
  - (ii) Was discovered during contract or subcontract services provided to an element of the intelligence community.

3.908-2 Definitions.

As used in this section-

"Abuse of authority" means an arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency concerned or the successful performance of a contract of such agency.

"Inspector General" means an Inspector General appointed under the Inspector General Act of 1978 and any Inspector General that receives funding from, or has oversight over contracts awarded for, or on behalf of, the executive agency concerned.

3.908-3 Policy.

(a) Contractors and subcontractors are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for disclosing, to any of the entities listed at paragraph (b) of this subsection, information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract, a gross waste of Federal funds, an abuse of authority relating to a Federal contract, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract). A reprisal is prohibited even if it is undertaken at the request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

- (1) A Member of Congress or a representative of a committee of Congress.
- (2) An Inspector General.
- (3) The Government Accountability Office.
- (4) A Federal employee responsible for contract oversight or management at the relevant agency.
- (5) An authorized official of the Department of Justice or other law enforcement agency.

(6) A court or grand jury.

(7) A management official or other employee of the contractor or subcontractor who has the responsibility to investigate, discover, or address misconduct.

(c) An employee who initiates or provides evidence of contractor or subcontractor misconduct in any judicial or administrative proceeding relating to waste, fraud, or abuse on a Federal contract shall be deemed to have made a disclosure.

3.908-9 Contract clause.

Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Sept. 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at [41 U.S.C. 4712](#) by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR [3.908](#).

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under [41 U.S.C. 4712](#), as described in section [3.908](#) of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

## PAYMENT INFORMATION

**Automatic Drawdown (Direct/Advance Payments):** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx?explorer.event=true>

**Note:** To obtain the contact information of DPM staff within respective Payment Branches refer to the links listed below:

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/gov\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/gov_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/cross\\_servicing.aspx](http://www.dpm.psc.gov/contacts/dpm_contact_list/cross_servicing.aspx)
- International Payment Branch:  
Bhavin Patel (301) 492-4918  
Email: [Bhavin.patel@psc.hhs.gov](mailto:Bhavin.patel@psc.hhs.gov)

If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

U.S. Department of Health and Human Services  
Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Payment Management System Subaccount:** Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC setup payment subaccounts within the Payment Management System (PMS) for all grant awards. Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P" Account". A "P" Account is a subaccount created specifically for the purpose of tracking designated types of funding in the PMS.

Funds must be used in support of approved activities in the FOA and the approved application. All award funds must be tracked and reported separately.

The grant document number and subaccount title (below) must be known in order to draw down funds from this P Account.

Grant Document Number: **000027DD16**  
Subaccount Title **DD16-1605-ZIKACOAG16**

**Acceptance of the Terms of an Award:** By drawing or otherwise obtaining funds from the grant Payment Management Services, the grantee acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of this award notice.

**Certification Statement:** By drawing down funds, the grantee certifies that proper financial management controls and accounting systems, to include personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients must comply with all terms and conditions outlined in their NoA, including grant policy terms and conditions contained in applicable HHS Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any regulations or limitations in any applicable appropriations acts.

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is **August 01, 2016** through **July 31, 2021**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

All manuscripts published as a result of the work supported in part or whole by the cooperative grant must be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the GMS for approval by the GMO by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

The final and other programmatic reports required by the terms and conditions of the NoA are the following.

**Final Performance Report:** An original and two copies are required. At a minimum, the report should include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.



- List of publications resulting from the project, with plans, if any, for further publication.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted to your grants management specialist (GMS) no later than 90 days after the end of budget period. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

**Final Invention Statement:** An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

## CDC ROLES AND RESPONSIBILITIES

**Roles and Responsibilities:** Grants Management Specialists/Officers (GMO/GMS) and Program/Project Officers (PO) work together to award and manage CDC grants and cooperative agreements. From the pre-planning stage to closeout of an award, grants management and program staff have specific roles and responsibilities for each phase of the grant cycle. The GMS/GMO is responsible for the business management and administrative functions. The PO is responsible for the programmatic, scientific, and/or technical aspects. The purpose of this factsheet is to distinguish between the roles and responsibilities of the GMO/GMS and the PO to provide a description of their respective duties.

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards including:

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants
- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award
- Maintaining the official grant file and program book

The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:** See Staff Contacts below for the assigned GMO

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described above are performed by the GMS on behalf of the GMO.

**GMS Contact:** See Staff Contacts below for the assigned GMS

**Program/Project Officer:** The PO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements including:

- The development of programs and FOAs to meet the CDC's mission
- Providing technical assistance to applicants in developing their applications e.g. explanation of programmatic requirements, regulations, evaluation criteria, and guidance to applicants on possible linkages with other resources
- Providing technical assistance to grantees in the performance of their project
- Post-award monitoring of grantee performance such as review of progress reports, review of prior approval requests, conducting site visits, and other activities complementary to those of the GMO/GMS

**Programmatic Contact:**

William Paradies, Project Officer

Centers for Disease Control and Prevention

National Center on Birth Defects and Developmental Disabilities (NCBDDD)

4770 Buford Highway, NE Mailstop E-86

Atlanta, GA 30341

Telephone: (404) 498-3919

Email: [wep2@cdc.gov](mailto:wep2@cdc.gov)

**Business and Grants Policy Contact:**

Brandis Belser

**Grants Management Officer (GMO)**

Centers for Disease Control

The Office of the Chief Operating Officer

2920 Brandywine Road, Colgate MS E-09

Atlanta, Georgia 30341

Telephone: 770-488-2676

Email: [gwi9@cdc.gov](mailto:gwi9@cdc.gov)

Ferrinnia 'Toni' Augustus-High

**Grants Management Specialist (GMS)**

Centers for Disease Control

The Office of the Chief Operating Officer

2920 Brandywine Road, Colgate MS E-09

Atlanta, Georgia 30341

Telephone: 770-488-2906

Email: [wef9@cdc.gov](mailto:wef9@cdc.gov)

**TECHNICAL REVIEW/SUMMARY STATEMENT  
FOA #CDC-RFA-DD16-1605**

**Surveillance, intervention, and referral to services activities for infants with microcephaly  
or other adverse outcomes linked with the Zika virus**

<b><u>APPLICANT:</u></b>	<b>Utah Department of Health</b>
<b><u>APPLICATION NO.:</u></b>	<b>NU50DD2016000055</b>
<b><u>APPLICATION DATED:</u></b>	<b>6/30/2016</b>
<b><u>RECOMMENDATION:</u></b>	<b>Approved</b>
<b><u>YR 1 FUNDING REQUESTED:</u></b>	<b>\$200,000</b>
<b><u>SCORE:</u></b>	<b>87</b>

**Scott Grosse / Cara Mai**  
**Technical Reviewer**

**7/27/2016**

**SUMMARY OF PROJECT:**

Applicant will work to enhance rapid real time population-based surveillance of microcephaly and other CNS defects using an active case-finding methodology; participate in centralized pooled clinical and surveillance data projects at state and federal levels; education of hospital champions and provider education (CHC, LHD, pharmacies, midwives); ensure affected infants and families are referred to services; and assess health and developmental outcomes of these children.

**OBJECTIVES:**

Applicant lists specific measures related to the short-term outcomes on FOA page #6:

1: Improved rapid and accurate ascertainment of microcephaly and select CNS defects possibly linked to maternal Zika virus

- Complete abstraction of reported microcephaly and CNS defects within 45 days of delivery date
- Clinical case review will be completed within 14 days of abstraction completion

2: Improved knowledge about birth defects and Zika virus by organizations, agencies, and individuals

- Provide guidance and training to healthcare providers (adult and pediatric) and hospitals that treat the at-risk population for Zika virus in Utah
- Collectively work with the state inter-agency Zika response and communication teams to disseminate consistent and accurate messaging for Zika virus prevention

3: Increased knowledge by affected families about early identification and linkage of infants to health, early intervention, and other services

- Work with Baby Watch/Early Intervention (BWEIP) to establish the process for referral
- Families of children with microcephaly and other CNS defects will be referred to the Integrated Services Program (ISP) for resources and support services

- Establish a relationship with Help Me Grow Utah to connect families, physicians, community resources, and provide follow-up

Applicant also lists measures that relate to 2 of 3 mid-term outcomes listed on FOA page #7

4: Improved use of surveillance data to inform policy among a broad range of stakeholders

- Increase data utilization workforce capacity
- Data will be reported to CDC and other agencies within 60 days of date of delivery
- Continued monitoring, evaluation, and dissemination of data related to Zika-virus in Utah

5: Improved linkage and evaluation of health and developmental outcomes for children with microcephaly and select CNS conditions with possible link to maternal Zika virus

- Identify appropriate measures for collection of health and development outcomes for children with microcephaly and other CNS defects
- Build components to UBDN database to complete follow-up appropriate for U.S. Zika Pregnancy Registry
- Continuous follow-up at 2, 6, 12 months of live births from women with positive or inconclusive Zika virus tests

#### **METHODS:**

- Applicant will review and modify existing UBDN processes, which include abstraction of mother and infant records and clinical chart review of abstracted cases. The applicant has “identified improvements that can be made to our tracking and reporting source processes and methodologies.” One specific improvement is mentioned; they plan to add documentation of head circumference and microcephaly to the birth certificate.
- The applicant plans to hire an epidemiologist (90% FTE) to manage data collection and perform data analysis.
- Applicant will adopt NBDPN case definition, modify abstract forms, and train abstractors.
- Clinical consultant will review cases under contract at 5% effort

#### **1. Evaluation Criteria: Approach (50 points)**

##### **STRENGTHS:**

###### Surveillance

- Applicant has an active birth defects surveillance system which can be readily adapted to include microcephaly and select CNS defects.
- UBDN confirmed 426 cases of microcephaly during 1999-2013.
- UBDN has adopted standard NBDPN case definition
- Applicant has identified specific steps to assure rapid identification and reporting of cases of microcephaly.
- UBDN includes prenatal ascertainment, with 5 prenatal diagnosis clinics reporting.
- Applicant is linking with State Laboratory and Bureau of Epidemiology to obtain positive or inconclusive Zika virus test results on a near daily basis.

- Applicant has electronic access to health records at many hospitals in state
- Clinical support for case review by senior pediatric neurologist with particular expertise in infectious disease (congenital CMV)
- Health department has sufficient authority to obtain medical record information for suspected birth defects cases.

#### Capacity building

- UBDN will provide education and communication with healthcare providers regarding Zika virus
- Applicant is actively involved in the State inter-agency Zika Action Plan committee and the Zika Communication Workgroup.
- UBDN will review reporting guidelines with hospital data stewards and evaluate data extraction algorithm
- UBDN will engage and recruit Hospital Champions to assist in surveillance and dissemination of information.

#### Referral to services

- UBDN is establishing a data sharing agreement with the Early Intervention program and an electronic referral system.
- UBDN and EI program will work together to establish a process for identification and referral for infants with developmental delays.
- CSHCN's Integrated Services Program (ISP) will assist families of children with microcephaly and other CNS defects with care coordination planning, and connection to community-based services.
- The information and referral network of Help Me Grow Utah provides parents with the knowledge and resources to track developmental milestones.

#### Centralized pooled projects

- Epidemiologist and UBDN data manager will appropriately format, aggregate, and analyze data in a timely manner.
- Health educator and epidemiologist will work collaboratively to review and manage data for contribution to the Zika Pregnancy Registry

#### Examination of health outcomes

- Applicant understands the objectives of the FOA.
- Applicant will work with the CDC US Pregnancy Registry to determine appropriate outcomes for evaluation.
- Applicant will follow up at 2 months, 6 months and 12 months of age infants born to women with positive or inconclusive Zika virus test results.

#### **WEAKNESSES/RECOMMENDATIONS:**

- Because this is a public health emergency response, it is critically important that the applicant emphasize the **rapid and timely ascertainment** of cases of microcephaly, other CNS malformations, and other birth defects of interest potentially associated with

Zika virus infection in pregnancy. Approaches that will enable the applicant to most rapidly identify potential cases are those that the applicant should implement, including weekly access to hospital delivery records and frequent telephone and email outreach to delivery hospital “champions”.

- The applicant described enhanced surveillance for microcephaly, however it is important for the applicant to be sure to include rapid, real-time response for all infants with all birth defects that might be associated with Zika virus.
- Although budget narrative describes social media campaign, there is no mention of that in the program narrative and work plan.
- Capacity building objective mentions infrastructure improvements but provides no specifics.
- It is unclear who will follow up the infants at 2, 6, and 12 months of age and how they will be assessed.

**Recommended Score for #1 – Approach:**      45

<b>Poor</b>	<b>Fair</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
<b>0-24</b>	<b>25-34</b>	<b>35-39</b>	<b>40-44</b>	<b>45-50</b>

**2. Evaluation Criteria: Evaluation and Performance Measurement (25 points)**

**STRENGTHS:**

- Applicant lists numerous performance measures with specific timelines.

**WEAKNESSES/RECOMMENDATIONS:**

- It is unclear how some of the performance measures will be accomplished, such as “Dissemination of materials to identified high-risk groups in the community within the fiscal year grant cycle.”
- Some of the process measures are vague, such as implementation of processes of referral to EI program, ISP, and Help Me Grow Utah. What does it mean to “refer”? Who will do the referral? Who will check to see that the connection to services is made? The Workplan states that the program manager and health educator will contact families to refer them to ISP but is silent as to who will refer them to the other two programs. Also, the Workplan indicates the same two individuals are responsible for identifying children with microcephaly and CNS defects, but not how. Won’t that come from the tracking system?

**Recommended Score for #2 - Evaluation and Performance Measurement:**      22

<b>Poor</b>	<b>Fair</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
<b>0-11</b>	<b>12-16</b>	<b>17-19</b>	<b>20-22</b>	<b>23-25</b>

**3. Evaluation Criteria: Applicant’s Organizational Capacity to Implement the Approach (25 points)**

**STRENGTHS:**

- Organizational and management charts are included.
- UBDN has a strong track record in birth defects surveillance.
- UBDN has excellent partnerships with state hospital systems.
- The hire last year of a UBDN Health Educator assures the availability of crucial skills for disseminating information to providers and families.
- The experienced UBDN program manager will contribute 0.25 FTE at no cost to project
- The current half-time UBDN data manager is experienced and capable.
- The project will pay for a 0.9 FTE UBDN epidemiologist to be hired.
- If the higher funding level is available an experienced Research Analyst will be transferred from another program in the CSHCN division.

**WEAKNESSES/RECOMMENDATIONS:**

- The staffing plan has some ambiguities. It refers to a single Tracking Specialist, but the project narrative mentions two different individuals who share that responsibility among other tasks. The staffing plan mentions one Data Manager but the narrative indicates that responsibility will be shared by two people.
- The work plan assumes that a new Epidemiologist position will be posted and filled within the first month, which may be unrealistic. No indication is given as the capacity of the organization to meet that timeline, i.e., no documentation of past experience in posting and filling positions.
- The budget narrative does not precisely match the project narrative. The budget narrative for the \$200,000 per year budget indicates the hiring of a 0.9 FTE Epidemiologist to be selected and the transfer of an existing 0.6 FTE Research Analyst from the Newborn Blood Screening Program. The project narrative refers to a 1.0 FTE epidemiologist and a 0.5 FTE data manager. The project narrative is vague as to the responsibilities of the new part-time data manager, focused on data quality for surveillance. The high-end budget narrative indicates the Research Analyst will not only assist with data quality but will also set up a web page for the project and assist with contacting families, assuming that funds are available for that position to be filled. No indication is given as to what activities and outcomes would have to be sacrificed if only \$100,000 per year were made available.
- It is unclear if 4 hours/week will be sufficient for clinical review of the abstracted cases within 14 days of completed abstraction.

**Recommended Score for #3 - Applicant’s Organizational Capacity to Implement the Approach:         20**

<b>Poor</b>	<b>Fair</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
0-11	12-16	17-19	20-22	23-25

#### **4. Evaluation Criteria: Budget Justification and Adequacy of Facilities (not scored)**

The budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the intended use of the cooperative agreement funds. The applicant shall describe and indicate the availability of facilities and equipment necessary to carry out this project. Award recipients agree to use cooperative agreement funds for travel by project staff agreed-upon by CDC to participate in CDC-sponsored workshops or other called meetings.

#### **COMMENTS:**

- We verified the accuracy, allowability, and reasonableness of the proposed cost.
- The grantee will need to submit a revised budget with their response to the Summary Statement weaknesses and recommendations.
- Personnel, Fringe Benefits: Applicant provided In-Kind support; however, we could not calculate the amount. By obtaining other sources of funding, it is encouraging that the applicant demonstrates their commitment to the goals and objectives of the FOA.
- Fringe Benefits: We noted an arithmetic error in the fringe benefits calculation. Applicant may need to submit a revised budget after award.
- Travel: Applicant did not provide funds for travel to participate in CDC-sponsored workshops or other called meetings. Applicant may need to submit a revised budget after award.



1. DATE ISSUED MM/DD/YYYY | 2. CFDA NO. | 3. ASSISTANCE TYPE  
 08/05/2016 | 93.073 | Cooperative Agreement

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**  
 2920 Brandywine Road  
 Atlanta, GA 30341

1a. SUPERSEDES AWARD NOTICE dated 07/29/2016  
 except that any additions or restrictions previously imposed remain  
 in effect unless specifically rescinded

4. GRANT NO. | 5. ACTION TYPE  
 6 NU50DD000027-01-01 | Post Award  
 Formerly | Amendment

6. PROJECT PERIOD MM/DD/YYYY | MM/DD/YYYY  
 From 08/01/2016 | Through 07/31/2021

7. BUDGET PERIOD MM/DD/YYYY | MM/DD/YYYY  
 From 08/01/2016 | Through 07/31/2017

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 Sections 317C [42 U.S.C. 247b-4] of the Public Health Service Act.

8. TITLE OF PROJECT (OR PROGRAM)  
 Utah microcephaly surveillance, intervention, and referral to services for infants linked to Zika Virus

9a. GRANTEE NAME AND ADDRESS  
 Department of Health Utah  
 288 N 1460 W  
 Salt Lake City, UT 84116-3231

9b. GRANTEE PROJECT DIRECTOR  
 Mrs. Amy Nance  
 PO Box 142001  
 Family Health and Preparedness  
 Salt Lake City, UT 84114-2001  
 Phone: 801-883-4661

10a. GRANTEE AUTHORIZING OFFICIAL  
 Mrs. Shari Watkins  
 288 N 1460 W  
 SALT LAKE CITY, UT 84116-3231  
 Phone: 801-538-6936

10b. FEDERAL PROJECT OFFICER  
 William Paradies  
 Centers for Disease Control and Prevention  
 CCHP/NCBDDD/DBDDD/BDB  
 Atlanta, GA 30333  
 Phone: 404-498-3919

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>	
I Financial Assistance from the Federal Awarding Agency Only	<b>I</b>
II Total project costs including grant funds and all other financial participation	
a. Salaries and Wages .....	96,253.00
b. Fringe Benefits .....	54,602.00
c. Total Personnel Costs .....	150,855.00
d. Equipment .....	1,699.00
e. Supplies .....	5,614.00
f. Travel .....	0.00
g. Construction .....	0.00
h. Other .....	10,531.00
i. Contractual .....	12,141.00
j. TOTAL DIRECT COSTS →	180,840.00
k. INDIRECT COSTS	19,160.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>200,000.00</b>
m. Federal Share	200,000.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	200,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	200,000.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>0.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>200,000.00</b>

<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -  Yes  No)

GRANTS MANAGEMENT OFFICIAL: **Pamela Render**

17. OBJ CLASS	41.51	18a. VENDOR CODE	1876000545J3	18b. EIN	876000545	19. DUNS	959347972	20. CONG. DIST.	02
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION				
21. a. 6-939061A	b. 000027DD16	c. 93.073	d. DD	e. \$0.00	f. 75-16-0956				
22. a. 6-93906FV	b. 000027DD16	c. 93.073	d. DD	e. \$0.00	f. 75-1519-0943				
23. a.	b.	c.	d.	e.	f.				

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/05/2016
GRANT NO. 6 NU50DD000027-01-01	

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

Department of Health Utah

6 NU50DD000027-01-01

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1. Administrative Correction Terms and Conditions

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: DD 16-1605**

**Revision #1**

**ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD**

**NOTE 1: ADMINISTRATIVE CORRECTION:** The purpose of this revised Notice of Award (NOA) is to amend the NOA dated 7/29/2016. The Authorization (Legislation/Regulations) Award Authority citation on page 1 of the NOA is incorrect.

The correct Statutory Authority for this grant under FOA DD16-1605 is:

Sections 311, 317(C), of the Public Health Service Act (42 U.S.C. Sections 243, 247b-4).

**NOTE 2: ADMINISTRATIVE CORRECTION:** The purpose of this revised Notice of Award (NOA) is to amend the NOA dated 7/29/2016. The budget period dates are from 08/01/2016 to 07/31/2017, and the project period dates are from 08/01/2016 to 07/31/2021.

**NOTE 3:** Please be advised that the grantee must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

**NOTE 4:** All other terms and conditions issued with the original Notice of Award remain in effect throughout the budget period unless changed in writing by the CDC Grants Management Officer.

**PLEASE REFERENCE THE GRANT NUMBER ON ALL CORRESPONDENCE.**