



**CABINET FOR HEALTH AND FAMILY SERVICES  
OFFICE OF THE SECRETARY**

**Steven L. Beshear**  
Governor

Department for Public Health  
Division of Administration & Financial Management  
275 East Main Street, HS1W-C  
Frankfort, KY 40601  
502-564-6663 \* Fax 502-564-0919

**Audrey Tayse Haynes**  
Secretary

**TO:** Tony Adkins, Branch Manager  
Division of General Accounting

**FROM:** Jenny Glass, Acting Branch Manager  
Division of Administration and Financial Management

**DATE:** December 23, 2013

**SUBJECT:** Grant Award

The Department for Public Health has received the following commitment from the Federal Government to finance certain allowable expenditures made on their behalf. Please assure the necessary grant/subprogram information is established to accommodate the required grant.

Title of Award /Grant: Immunization & Vaccines for Children Grants  
Award/Grant Period: 01/01/14-12/31/14 Award/Grant Amount: \$1,199,705  
Award/Grant No.: 5H23IP000725-02 CFDA No.: 93.268  
Contact Person: Patrick Rupinen

**PRIMARY DEPARTMENT**

Program	Program Period	PBU	Agy	Amount	Total
<u>010500</u>	<u>13</u>	<u>SDF1-SDF6</u>	<u>728</u>	<u>\$1,199,705</u>	<u>\$1,199,705</u>

Based upon the attached "Notification of Grant Award" or other acceptable documentation, the Cabinet for Health Services is authorized to charge expenditures against this grant in the amount of \$1,199,705 beginning 01/01/14.



RESOURCE PROGRAMS  
Department of Health and Human Services  
Centers for Disease Control and Prevention  
NATIONAL CENTER FOR IMMUNIZATION AND RESPIRATORY DISEASES

Notice of Award

Issue Date: 12/20/2013



Grant Number: 5H23IP000725-02  
FAIN: H23IP000725

Principal Investigator(s):  
ROBERT L. BRAWLEY, MD, MD

Project Title: KY IMMUNIZATION PROGRAM IMMUNIZATION & VACCINE FOR CHILDREN PROGRAM

KENTUCKY DEPT OF HEALTH  
STATE BUDGET BRANCH, ADMINISTRAT  
275 E. MAIN STREET  
FRANKFORT, KY 40621

Budget Period: 01/01/2014 – 12/31/2014  
Project Period: 01/01/2013 – 12/31/2017

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$1,199,705 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to KENTUCKY ST CABINET FOR HEALTH & FAMILY SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS 317, 42 USC, SEC. 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,

Peaches O Brown  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

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 must submit a letter explaining the reason and state the date by which the Grants Management Officer noted in Section IV. Staff Contacts will receive the information.

**NOTE 5. RENT OR SPACE COSTS:** Recipients 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 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). The recipient also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the recipient to ensure rent is a legitimate direct cost line item which the recipient 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 recipient must provide a narrative justification which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist noted in Section IV. Staff Contacts.

**NOTE 6. 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://www.webgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://www.webgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

#### NOTE 7. FEDERAL REPORTING REQUIREMENTS

**CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS:**  
All applicant organizations must obtain a DUN and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number is a nine-digit number assigned by Dun and Bradstreet Information Services. An AOR should be consulted to determine the appropriate number. If the organization does not have a DUNS number, an AOR should complete the ***US D&B D-U-N-S Number Request Form*** or contact Dun and Bradstreet by telephone directly at 1-866-705-5711 (toll-free) to obtain one. A DUNS number will be provided immediately by telephone at no charge. Note this is an organizational number. Individual Program Directors/Principal Investigators do not need to register for a DUNS. Additionally, all applicant organizations must register in the Central Contractor Registry (CCR) and maintain the registration with current information at all times during which it has an application under consideration for funding by CDC and, if an award is made, until a final financial report is submitted or the final payment is received, whichever is later. CCR is the primary registrant database for the Federal government and is the 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 CCR internet site at [www.ccr.gov](http://www.ccr.gov)

If an award is granted, the grantee organization must notify potential sub-recipients that no organization may receive a subaward under the grant unless the organization has provided its DUNS number to the grantee organization.

**FEDERAL FUNDING ACCOUNTABILITY and TRANSPARENCY (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 REPORTING SUB-AWARD AND EXECUTIVE COMPENSATION INFORMATION, Prime grantees 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 grantee awards any sub-grant equal to or greater than \$25,000. For instructions of reporting please visit: <http://www.fsrs.gov>

#### NON-DELINQUENCY on FEDERAL DEBT

The Federal Debt Collection Procedures Act of 1990 (Act), 28 U.S.C. 3201(e), provides that an organization or individual that is indebted to the United States, and has a judgment lien filed against it, is ineligible to receive a Federal grant. CDC cannot award a grant unless the AOR of the applicant organization (or individual in the case of a Kirschstein-NRSA individual fellowship) certifies, by means of his/her signature on the application, that the organization (or individual) is not delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal government, CDC may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, CDC will take that delinquency into account when determining whether the applicant would be a responsible CDC grant recipient.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for a CDC grant until the judgment is paid in full or is otherwise satisfied. No funds may be used for or rebudgeted following an award to pay such an individual. CDC will disallow costs charged to awards that provide funds to individuals in violation of this Act.

These requirements apply to all types of organizations and awards, including foreign grants.

NOTE 8. Federal Funds awarded for 317, VFC Operations, VFC/AFIX, VFC Ordering, VFC Distribution, and Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected between funding sources without prior approval of the Grants Management Officer.

NOTE 9. 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 notice of award. The request must be submitted by September 1, 2014 and submitted with an original plus two copies. 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.

Prior approval is required but is not limited to the following types of requests: 1) Use of unobligated funds from prior budget period (Carryover); 2) Lift funding restriction, withholding, or disallowance, 3) Redirection of funds, 4) Change in Contractor/Consultant; 5) Supplemental funds; 6) Response to Technical Review or Summary Statement, 7) Change in Key Personnel, or 8) Liquidation Extensions.

#### NOTE 10. ANNUAL FEDERAL FINANCIAL REPORT (FFR)(SF 425):

The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons within 90 days after the end of each budget period. The FFR for this budget period is due to the Grants Management Specialist by March 31, 2015. Reporting timeframe is January 1, 2013 through December 31, 2014.

eRA Commons website: <http://era.nih.gov/>

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.

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 submit a letter explaining the reason and date by which the Grants Officer will receive the information.

If the FFR is not finalized by the due date, an interim FFR must be submitted, marked NOT FINAL, and an amount of un-liquidated obligations should be annotated to reflect unpaid expenses.

**NOTE 11. PROGRESS/PERFORMANCE REPORTING:**

a. The Interim Progress Report (IPR) will serve as the non-competing continuation application. The IPR is due no less than 90 days before the end of the budget period. A due date and specific IPR guidance will be provided at a later date. The IPR must contain the following elements:

- i. Standard Form (SF) 424S Form
- ii. SF424A Budget Information-Non-Construction Programs
- iii. Budget Narrative (Budget Guidelines at <http://www.cdc.gov/od/pgo/funding/grantmain.htm>)
- iv. Indirect Cost Rate Agreement
- v. Project Narrative

The Final Progress Report is required no later than 90 days after the end of the project period. All manuscripts published as a result of the work supported in part or whole by the cooperative agreement will be submitted with the progress reports.

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

**NOTE 12. 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 months after the end of the audit period.

The audit report must be sent to:  
Federal Audit Clearing House  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132

Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696 or email: [govs.fac@census.gov](mailto:govs.fac@census.gov)

It is very helpful to CDC managers if the recipient sends a courtesy copy of completed audits and any management letters on a voluntary basis to the following address.

Centers for Disease Control and Prevention (CDC)  
ATTN: Audit Resolution, Mail Stop E-14  
2920 Brandywine Road  
Atlanta, GA 30341-4146

The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or cooperative agreement funds received exceed \$500,000). 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 Federal law and regulations. The grantee is to 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 should include this requirement in all sub-recipient contracts.

**NOTE 13. SUBGRANT/SUBRECIPIENT AWARDS:** Seed Grants/Sub-Grants are not authorized under this program or included in Program authorizing legislature. As a result, the recipient is not permitted to fund seed grants or sub-grants. Recipient must issue proposed funding as a procurement requirement per the organization's established procedures.

**NOTE 14. TRAVEL GUIDANCE:** TRAVEL TO THE FOLLOWING CDC SPONSORED OR CO-SPONSORED MEETINGS IS APPROVED BUT NOT FUNDED AT THIS TIME.

ADVISORY COMMITTEE ON IMMUNICATION PRACTICES CONFERENCE, NATIONAL IMMUNIZATION CONFERENCE, PROGRAM MANAGERS MEETINGS, PAN FLU SUMMIT, AND THE PUBLIC HEALTH INFORMATICS CONFERENCE.

PLEASE MONITOR FUTURE NOTICES OF AWARDS FOR INFORMATION ON WHEN FUNDS MAY BE AVAILABLE FOR TRAVEL TO THESE MEETINGS.

**NOTE 15. 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, recipient is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 16. FOOD AND MEALS:** Costs associated with food or meals are allowable when consistent OMB Circulars and guidance, DHHS Federal regulations, Program Regulations, DHHS policies and guidance. In addition, costs must be proposed in accordance with recipients approved policies and a determination of reasonableness has been performed by the recipients. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 17. CORRESPONDENCE:** ALL correspondence (including emails and faxes) regarding this award must be dated, identified with the AWARD NUMBER, and include a point of contact (name, phone, fax, and email). All correspondence should be addressed to the Grants Management Specialist listed below and submitted with an original plus two copies.

Constance Jarvis, Grants Management Specialist  
Centers for Disease Control, PGO, Branch II  
2920 Brandywine Road, Mail Stop K15  
Atlanta, GA 30341-4146  
Telephone: (770) 488-2859  
Fax: (770) 488-8350  
Email: abq3@cdc.gov

**NOTE 18. INVENTIONS:** Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR 401.14.

**NOTE 19. 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 Cooperative Agreement Number above from 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.

**NOTE 20: 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.

**NOTE 21. CONFERENCE DISCLAIMER AND USE OF LOGOS:**

Disclaimer. If a conference is funded by a grant, cooperative agreement, sub-grant and/or a contract the recipient 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 do not 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.

Logos. 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.

**NOTE 22. 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) Circular A-110 and 45 CFR Part 92:

i. Office of Management and Budget (OMB) Circular A-110, Sections 31 through 37 provides the uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations. For additional information, please review the following website: <http://www.whitehouse.gov/omb/circulars/a110/a110.htm>

ii. 45 CFR Parts 92.31 and 92.32 provides the uniform administrative requirements for grants and cooperative agreements to state, local and tribal governments. For additional information, please review the following website listed:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr92\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr92_03.html)

**NOTE 23. PROGRAM INCOME:** Any program income generated under this cooperative agreement will be used in accordance with the additional cost alternative. The disposition of program income must have written prior approval from the Grants Management Officer.

**Additional Costs Alternative--Used for costs that are in addition to the allowable costs of the project for any purposes that further the objectives of the legislation under which the cooperative agreement was made. General program income subject to this alternative shall be reported on the FFR, as appropriate.**

**NOTE 24. KEY PERSONNEL:** In accordance with 45 CFR 74.25(c)(2) & (3) CDC recipients shall obtain prior approvals from CDC for (1) change in the project director or principal investigator or other key persons specified in the application or award document, and (2) the absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

NOTE 25. TRAFFICKING IN PERSONS. 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 terms and conditions, please review the following website: [http://www.cdc.gov/od/pgo/funding/grants/Award\\_Term\\_and\\_Condition\\_for\\_Trafficking\\_in\\_Persons.shtm](http://www.cdc.gov/od/pgo/funding/grants/Award_Term_and_Condition_for_Trafficking_in_Persons.shtm)

NOTE 26. 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 recipients of Federal research grants, 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) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

NOTE 27. LOBBYING RESTRICTIONS (June 2012): Applicants should be aware that award recipients are prohibited from using CDC/HHS funds to engage in any lobbying activity. Specifically, no part of the federal award shall be used to pay the salary or expenses of any grant recipient, subrecipient, or agent acting for such recipient or subrecipient, 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.

Restrictions on lobbying activities described above also specifically apply to lobbying related to 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.

This prohibition includes grass roots lobbying efforts by award recipients that are directed at inducing members of the public to contact their elected representatives to urge support of, or opposition to, proposed or pending legislation, appropriations, regulations, administrative actions, or Executive Orders (hereinafter referred to collectively as "legislation and other orders"). Further prohibited grass roots lobbying communications by award recipients using federal funds could also encompass any effort to influence legislation through an attempt to affect the opinions of the general public or any segment of the population if the communications refer to specific legislation and/or other orders, directly express a view on such legislation or other orders, and encourage the audience to take action with respect to the matter.

In accordance with applicable law, direct lobbying communications by award recipients are also prohibited. Direct lobbying includes any attempt to influence legislative or other similar deliberations at all levels of government through communications that directly express a view on proposed or pending legislation and other orders and which are directed to members, staff, or other employees of a legislative body or to government officials or employees who participate in the formulation of legislation or other orders.

Lobbying prohibitions also extend to include CDC/HHS grants and cooperative agreements that, in whole or in part, involve conferences. Federal funds cannot be used directly or indirectly to encourage participants in such conferences to impermissibly lobby. However, these prohibitions are not intended to prohibit all interaction with the legislative or executive branches of governments, or to prohibit educational efforts pertaining to public health that are within the scope of the CDC award. For state, local, and other governmental grantees, certain activities falling within the 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 are permissible. There are circumstances for such grantees, in the course of such a normal and recognized executive-legislative relationship, when it is permissible to provide information to the legislative branch in order to foster implementation of prevention strategies to promote public health.

However, such communications cannot directly urge the decision makers to act with respect to specific legislation or expressly solicit members of the public to contact the decision makers to urge such action.

Many non-profit grantees, in order to retain their tax-exempt status, have long operated under settled definitions of "lobbying" and "influencing legislation." These definitions are a useful benchmark for all non-government grantees, regardless of tax status. Under these definitions, grantees are permitted to (1) prepare and disseminate certain nonpartisan analysis, study, or research reports; (2) engage in examinations and discussions of broad social, economic, and similar problems in reports and at conferences; and (3) provide technical advice or assistance upon a written request by a legislative body or committee.

Award recipients should also note that using CDC/HHS funds to develop and/or disseminate materials that exhibit all three of the following characteristics are prohibited: (1) refer to specific legislation or other order; (2) reflect a point of view on that legislation or other order; and (3) contain an overt call to action.

It remains permissible for CDC/HHS grantees to use CDC funds to engage in activities to enhance prevention; collect and analyze data; publish and disseminate results of research and surveillance data; implement prevention strategies; conduct community outreach services; foster coalition building and consensus on public health initiatives; provide leadership and training, and foster safe and healthful environments.

Note also that under the provisions of 31 U.S.C. Section 1352, recipients (and their sub-tier contractors and/or funded parties) are prohibited from using appropriated Federal funds to lobby in connection with the award, extension, continuation, renewal, amendment, or modification of the funding mechanism under which monetary assistance was received. In accordance with applicable regulations and law, certain covered entities must give assurances that they will not engage in prohibited activities.

CDC cautions recipients of CDC funds to be careful not to give the appearance that CDC funds are being used to carry out activities in a manner that is prohibited under Federal law. Recipients of CDC funds should give close attention to isolating and separating the appropriate use of CDC funds from non-CDC funds.

Use of federal funds inconsistent with these lobbying restrictions could result in disallowance of the cost of the activity or action found not to be in compliance as well as potentially other enforcement actions as outlined in applicable grants regulations.

**NOTE 28. 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 as set forth here and in the Funding Opportunity Announcement Number IP13-1301 entitled, Immunization and Vaccines for Children Program, and is obligated to perform in accordance with the terms and conditions of the award. If the recipient cannot accept the terms and conditions, the recipient should notify the Grants Management Officer.

**NOTE 29. CERTIFICATION STATEMENT:** By drawing down funds, Awardee 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 are being used in accordance with applicable Federal cost principles, regulations and Budget and Congressional intent of the President.

**NOTE 30. PAYMENT INFORMATION:** 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.

a. 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/grant\\_recipient/shortcuts/shortcuts.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/shortcuts/shortcuts.aspx?explorer.event=true)

**Please 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

Note: Mr. Patel is the only staff person designated to handle all of CDC's international cooperative agreements.

b. 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.

#### NOTE 31. ADDITIONAL REQUIREMENTS

The Additional Requirements that apply to this grant or cooperative agreement are indicated below. The full text of the Additional Requirements may be found on the CDC web site at: [http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtml](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtml).

AR-7: Executive Order 12372 Review

AR-8: Public Health System Reporting Requirements

AR-10: Smoke-Free Workplace Requirements

AR-11: Healthy People 2020

AR-12: Lobbying Restrictions

AR-14: Accounting System Requirements

AR-15: Proof of Non-profit Status

AR-20: Conference Support

AR-24: Health Insurance Portability and Accountability Act Requirements

AR-25: Release and Sharing of Data

AR-27: Conference Disclaimer and Use of Logos

AR-29: Compliance with EO13513, "Federal Leadership on Reducing Text Messaging while Driving", October 1, 2009.

AR-30: Compliance with Section 508 of the Rehabilitation Act of 1973

AR 32: FY 2012 Enacted General Provisions

#### **CDC CONTACTS:**

Programmatic and Technical Contact  
Denise Rogers, Acting Branch Chief  
Program Operations Branch, NCIRD  
Centers for Disease Control and Prevention  
1600 Clifton Road, NE, Mail Stop  
Atlanta, GA 30333  
Telephone: (404) 639-8313  
Email: [dqr2@cdc.gov](mailto:dqr2@cdc.gov)

#### **STAFF CONTACTS**

**Grants Management Specialist: Constance J Jarvis**  
 Centers for Disease Control and Prevention  
 Procurement and Grants Office  
 Koger Center, Colgate Building  
 2920 Brandywine Road, Mail Stop K 14  
 Atlanta, GA 30341  
 Email: cjarvis@cdc.gov Phone: 770-488-2859 Fax: 770-488-2044

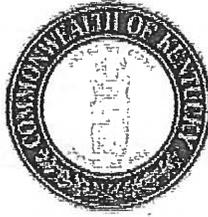
**Grants Management Officer: Peaches O Brown**  
 Center for Disease Control and Prevention  
 CDC / ATSDR  
 2920 Brandywine Road MS:K14  
 Atlanta , ga 30341  
 Email: prb0@cdc.gov Phone: 770-488-2738 Fax: 770-488-2670

**SPREADSHEET SUMMARY**  
**GRANT NUMBER: 5H23IP000725-02**

**INSTITUTION: KY ST CABINET/HEALTH/FAMILY SERVICES**

Budget	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$236,247			
Fringe Benefits	\$143,151			
Supplies	\$20,275			
Travel Costs	\$10,000			
Other Costs	\$30,839	\$3,836,351	\$3,836,351	\$3,836,351
Consortium/Contractual Cost	\$709,581			
<b>TOTAL FEDERAL DC</b>	<b>\$1,150,093</b>	<b>\$3,836,351</b>	<b>\$3,836,351</b>	<b>\$3,836,351</b>
<b>TOTAL FEDERAL F&amp;A</b>	<b>\$49,612</b>			
<b>TOTAL COST</b>	<b>\$1,199,705</b>	<b>\$3,836,351</b>	<b>\$3,836,351</b>	<b>\$3,836,351</b>





CABINET FOR HEALTH AND FAMILY SERVICES  
OFFICE OF THE SECRETARY

Steven L. Beshear  
Governor

Department for Public Health  
Division of Administration & Financial Management  
275 East Main Street, HS1W-C  
Frankfort, KY 40601  
502-564-6663 \* Fax 502-564-0919

Audrey Tayse Haynes  
Secretary

TO: Tony Adkins, Branch Manager  
Division of General Accounting

FROM: Jenny Glass, Acting Branch Manager  
Division of Administration and Financial Management

DATE: April 15, 2014

SUBJECT: Grant Award

The Department for Public Health has received the following commitment from the Federal Government to finance certain allowable expenditures made on their behalf. Please assure the necessary grant/subprogram information is established to accommodate the required grant.

Title of Award /Grant: Immunization & Vaccines for Children Grants  
Award/Grant Period: 01/01/14-12/31/14 Award/Grant Amount: \$2,633,856  
Award/Grant No.: 5H23IP000725-02 REVISED CFDA No.: 93.268  
Contact Person: Nicole Broyles

PRIMARY DEPARTMENT

Program	Program Period	PBU	Agy	Amount	Total
<u>010500</u>	<u>13</u>	<u>SDF1-SDF6</u>	<u>728</u>	<u>\$1,434,151</u>	<u>\$2,633,856</u>

Based upon the attached "Notification of Grant Award" or other acceptable documentation, the Cabinet for Health Services is authorized to charge expenditures against this grant in the amount of \$2,633,856 beginning 01/01/14.



RESOURCE PROGRAMS  
Department of Health and Human Services  
Centers for Disease Control and Prevention  
NATIONAL CENTER FOR IMMUNIZATION AND RESPIRATORY DISEASES

Notice of Award

Issue Date: 04/10/2014



Grant Number: 5H23IP000725-02 REVISED  
FAIN: H23IP000725

Principal Investigator(s):  
ROBERT L. BRAWLEY, MD, MD

Project Title: KY IMMUNIZATION PROGRAM IMMUNIZATION & VACCINE FOR CHILDREN PROGRAM

KENTUCKY DEPT OF HEALTH  
STATE BUDGET BRANCH, ADMINISTRAT  
275 E. MAIN STREET  
FRANKFORT, KY 40621

Budget Period: 01/01/2014 – 12/31/2014  
Project Period: 01/01/2013 – 12/31/2017

Dear Business Official:

The Centers for Disease Control and Prevention hereby revises this award to reflect an increase in the amount of \$1,434,151 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to KENTUCKY ST CABINET FOR HEALTH & FAMILY SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS 317, 42 USC, SEC. 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,

Peaches O Brown  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

**SECTION I – AWARD DATA – 5H23IP000725-02 REVISED**

**Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$2,527,181
Federal F&A Costs	\$106,675
Approved Budget	\$2,633,856
Federal Share	\$2,633,856
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$2,633,856</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$1,434,151**

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

03	\$3,836,351
04	\$3,836,351
05	\$3,836,351

**Fiscal Information:**

CFDA Number: 93.268  
 EIN: 1610600439B5  
 Document Number: HIP000725A

IC	CAN	2014	2015	2016	2017
IP	939006P	\$233,861			
IP	939006Q	\$70,281			
IP	939006S	\$413,718			
IP	939ZRTU	\$11,983	\$3,836,351	\$3,836,351	\$3,836,351
IP	939ZRYH	\$1,904,013			

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD		CUMULATIVE TOTALS
2		\$2,633,856	\$2,633,856
3		\$3,836,351	\$3,836,351
4		\$3,836,351	\$3,836,351
5		\$3,836,351	\$3,836,351

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 04/10/2014

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5H23IP000725-02 REVISED**

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.

**SECTION III – TERMS AND CONDITIONS – 5H23IP000725-02 REVISED**

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) H23IP000725. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

National Center For Immunization And Respiratory Diseases (IP)

**Treatment of Program Income:  
Additional Costs**

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#### **SECTION IV – IP Special Terms and Conditions – 5H23IP000725-02 REVISED**

#### **TERMS AND CONDITIONS OF THIS AWARD**

##### **AMENDMENT ONE**

1. The purpose of this amendment is to provide additional 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. SPECIAL PROJECT FUNDING**

Federal Funds awarded for Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected without written, prior approval from the Grants Management Officer.

3. Travel and funding to the referenced Conferences are approved;

2014 Public Health Informatics Conference Atlanta, GA April 29 – May 1, 2014

2014 National Adult and Influenza Immunization Atlanta, GA - May 13 - May 15, 2014.

4. 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.

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#### **TERMS AND CONDITIONS OF THIS AWARD**

Funding Opportunity Announcement (FOA) Number: IP13-1301

**NOTE 1. INCORPORATION:** Funding Opportunity Announcement Number IP13-130102 entitled, Immunization and Vaccines for Children Program, the application dated 8/27/2013, and the attached Worksheet is made a part of this Non-Research award by reference.

**NOTE 2. CONTINUING RESOLUTION:**

CDC is operating under a continuing resolution and as a result the total available funding for the FY2014 twelve month budget period from January 1, 2014 through December 31, 2014, is contingent on approval of the appropriation bill.

Your current award amount is \$1,199,705. Additional funds may be awarded consistent with your approved submitted work plan. Based on the availability of FY14 funds subsequent funding will be provided.

**NOTE 3. INDIRECT COSTS**

The HHS approved cost allocation plan for the Kentucky Department for Public Health applies to this grant dated 04/23/2012.

**NOTE 4. BUDGET REQUIREMENT:** The grantee must submit a revised budget with narrative justification and work plan 60 days after receipt of final funding awarded for FY14. 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 must submit a letter explaining the reason and state the date by which the Grants Management Officer noted in Section IV. Staff Contacts will receive the information.

**NOTE 5. RENT OR SPACE COSTS:** Recipients 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 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). The recipient also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the recipient to ensure rent is a legitimate direct cost line item which the recipient 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 recipient must provide a narrative justification which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist noted in Section IV. Staff Contacts.

**NOTE 6. 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://fwwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://fwwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**NOTE 7. FEDERAL REPORTING REQUIREMENTS**

**CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS:**

All applicant organizations must obtain a DUN and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or

cooperative agreements. The DUNS number is a nine-digit number assigned by Dun and Bradstreet Information Services. An AOR should be consulted to determine the appropriate number. If the organization does not have a DUNS number, an AOR should complete the *US D&B D-U-N-S Number Request Form* or contact Dun and Bradstreet by telephone directly at 1-866-705-5711 (toll-free) to obtain one. A DUNS number will be provided immediately by telephone at no charge. Note this is an organizational number. Individual Program Directors/Principal Investigators do not need to register for a DUNS.

Additionally, all applicant organizations must register in the Central Contractor Registry (CCR) and maintain the registration with current information at all times during which it has an application under consideration for funding by CDC and, if an award is made, until a final financial report is submitted or the final payment is received, whichever is later. CCR is the primary registrant database for the Federal government and is the 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 CCR internet site at [www.ccr.gov](http://www.ccr.gov)

If an award is granted, the grantee organization must notify potential sub-recipients that no organization may receive a subaward under the grant unless the organization has provided its DUNS number to the grantee organization.

#### FEDERAL FUNDING ACCOUNTABILITY and TRANSPARENCY (FFATA):

In accordance with 2 CFR Chapter 1, Part 170 REPORTING SUB-AWARD AND EXECUTIVE COMPENSATION INFORMATION, Prime grantees 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 grantee awards any sub-grant equal to or greater than \$25,000. For instructions of reporting please visit: <http://www.fsr.gov>

#### NON-DELINQUENCY on FEDERAL DEBT

The Federal Debt Collection Procedures Act of 1990 (Act), 28 U.S.C. 3201(e), provides that an organization or individual that is indebted to the United States, and has a judgment lien filed against it, is ineligible to receive a Federal grant. CDC cannot award a grant unless the AOR of the applicant organization (or individual in the case of a Kirschstein-NRSA Individual fellowship) certifies, by means of his/her signature on the application, that the organization (or individual) is not delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal government, CDC may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, CDC will take that delinquency into account when determining whether the applicant would be a responsible CDC grant recipient.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for a CDC grant until the judgment is paid in full or is otherwise satisfied. No funds may be used for or rebudgeted following an award to pay such an individual. CDC will disallow costs charged to awards that provide funds to individuals in violation of this Act.

These requirements apply to all types of organizations and awards, including foreign grants.

NOTE 8. Federal Funds awarded for 317, VFC Operations, VFC/AFIX, VFC Ordering, VFC Distribution, and Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected between funding sources without prior approval of the Grants Management Officer.

NOTE 9. 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 notice of award. The request must be submitted by September 1, 2014 and submitted with an original plus two copies. 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.

Prior approval is required but is not limited to the following types of requests: 1) Use of unobligated funds from prior budget period (Carryover); 2) Lift funding restriction, withholding, or disallowance, 3) Redirection of funds, 4) Change in Contractor/Consultant; 5) Supplemental funds; 6) Response to Technical Review or Summary Statement, 7) Change in Key Personnel, or 8) Liquidation Extensions.

**NOTE 10. ANNUAL FEDERAL FINANCIAL REPORT (FFR)(SF 425):**

The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons within 90 days after the end of each budget period. The FFR for this budget period is due to the Grants Management Specialist by March 31, 2015. Reporting timeframe is January 1, 2013 through December 31, 2014.

eRA Commons website: <http://era.nih.gov/>

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.

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 submit a letter explaining the reason and date by which the Grants Officer will receive the information.

If the FFR is not finalized by the due date, an interim FFR must be submitted, marked NOT FINAL, and an amount of un-liquidated obligations should be annotated to reflect unpaid expenses.

**NOTE 11. PROGRESS/PERFORMANCE REPORTING:**

a. The Interim Progress Report (IPR) will serve as the non-competing continuation application. The IPR is due no less than 90 days before the end of the budget period. A due date and specific IPR guidance will be provided at a later date. The IPR must contain the following elements:

- i. Standard Form (SF) 424S Form
- ii. SF424A Budget Information-Non-Construction Programs
- iii. Budget Narrative (Budget Guidelines at <http://www.cdc.gov/od/pgo/funding/grantmain.htm>)
- iv. Indirect Cost Rate Agreement
- v. Project Narrative

The Final Progress Report is required no later than 90 days after the end of the project period. All manuscripts published as a result of the work supported in part or whole by the cooperative agreement will be submitted with the progress reports.

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

**NOTE 12. 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 months after the end of the audit period.

The audit report must be sent to:  
Federal Audit Clearing House  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132

Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696, or email: [govs.fac@census.gov](mailto:govs.fac@census.gov)  
It is very helpful to CDC managers if the recipient sends a courtesy copy of completed audits and any management letters on a voluntary basis to the following address.

Centers for Disease Control and Prevention (CDC)  
ATTN: Audit Resolution, Mail Stop E-14  
2920 Brandywine Road  
Atlanta, GA 30341-4146

The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or cooperative agreement funds received exceed \$500,000). 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 Federal law and regulations. The grantee is to 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 should include this requirement in all sub-recipient contracts.

**NOTE 13. SUBGRANT/SUBRECIPIENT AWARDS:** Seed Grants/Sub-Grants are not authorized under this program or included in Program authorizing legislature. As a result, the recipient is not permitted to fund seed grants or sub-grants. Recipient must issue proposed funding as a procurement requirement per the organization's established procedures.

**NOTE 14. TRAVEL GUIDANCE:** TRAVEL TO THE FOLLOWING CDC SPONSORED OR CO-SPONSORED MEETINGS IS APPROVED BUT NOT FUNDED AT THIS TIME.

ADVISORY COMMITTEE ON IMMUNICATION PRACTICES CONFERENCE, NATIONAL IMMUNIZATION CONFERENCE, PROGRAM MANAGERS MEETINGS, PAN FLU SUMMIT, AND THE PUBLIC HEALTH INFORMATICS CONFERENCE.

PLEASE MONITOR FUTURE NOTICES OF AWARDS FOR INFORMATION ON WHEN FUNDS MAY BE AVAILABLE FOR TRAVEL TO THESE MEETINGS.

**NOTE 15. 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, recipient is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 16. FOOD AND MEALS:** Costs associated with food or meals are allowable when consistent OMB Circulars and guidance, DHHS Federal regulations, Program Regulations, DHHS policies and guidance. In addition, costs must be proposed in accordance with recipients approved policies and a determination of reasonableness has been performed by the recipients. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 17. CORRESPONDENCE:** ALL correspondence (including emails and faxes) regarding this award must be dated, identified with the AWARD NUMBER, and include a point of contact (name, phone, fax, and email). All correspondence should be addressed to the Grants Management Specialist listed below and submitted with an original plus two copies.

Constance Jarvis, Grants Management Specialist  
Centers for Disease Control, PGO, Branch II  
2920 Brandywine Road, Mail Stop K15  
Atlanta, GA 30341-4146  
Telephone: (770) 488-2859\_  
Fax: (770) 488-8350\_  
Email: abq3@cdc.gov

**NOTE 18. INVENTIONS:** Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR 401.14.

NOTE 19. 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 Cooperative Agreement Number above from 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.

NOTE 20: 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.

NOTE 21. CONFERENCE DISCLAIMER AND USE OF LOGOS:

Disclaimer. If a conference is funded by a grant, cooperative agreement, sub-grant and/or a contract the recipient 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 do not 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.

Logos. 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.

NOTE 22. 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) Circular A-110 and 45 CFR Part 92:

i. Office of Management and Budget (OMB) Circular A-110, Sections 31 through 37 provides the uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations. For additional information, please review: the following website: <http://www.whitehouse.gov/omb/circulars/a110/a110.html>

ii. 45 CFR Parts 92.31 and 92.32 provides the uniform administrative requirements for grants and cooperative agreements to state, local and tribal governments. For additional information, please review the following website listed:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr92\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr92_03.html)

**NOTE 23. PROGRAM INCOME:** Any program income generated under this cooperative agreement will be used in accordance with the additional cost alternative. The disposition of program income must have written prior approval from the Grants Management Officer.

**Additional Costs Alternative--**Used for costs that are in addition to the allowable costs of the project for any purposes that further the objectives of the legislation under which the cooperative agreement was made. General program income subject to this alternative shall be reported on the FFR, as appropriate.

**NOTE 24. KEY PERSONNEL:** In accordance with 45 CFR 74.25(c)(2) & (3) CDC recipients shall obtain prior approvals from CDC for (1) change in the project director or principal investigator or other key persons specified in the application or award document, and (2) the absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**NOTE 25. TRAFFICKING IN PERSONS.** 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 terms and conditions, please review the following website:  
[http://www.cdc.gov/od/pgo/funding/grants/Award\\_Term\\_and\\_Condition\\_for\\_Trafficking\\_In\\_Persons.shtm](http://www.cdc.gov/od/pgo/funding/grants/Award_Term_and_Condition_for_Trafficking_In_Persons.shtm)

**NOTE 26. 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 recipients of Federal research grants, 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) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

**NOTE 27. LOBBYING RESTRICTIONS (June 2012):** Applicants should be aware that award recipients are prohibited from using CDC/HHS funds to engage in any lobbying activity. Specifically, no part of the federal award shall be used to pay the salary or expenses of any grant recipient, subrecipient, or agent acting for such recipient or subrecipient, 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.

Restrictions on lobbying activities described above also specifically apply to lobbying related to 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.

This prohibition includes grass roots lobbying efforts by award recipients that are directed at inducing members of the public to contact their elected representatives to urge support of, or opposition to, proposed or pending legislation, appropriations, regulations, administrative actions, or Executive Orders (hereinafter referred to collectively as "legislation and other orders"). Further prohibited grass roots lobbying communications by award recipients using federal funds could also encompass any effort to influence legislation through an attempt to affect the opinions of the general public or any segment of the population if the communications refer to specific legislation and/or other orders, directly express a view on such legislation or other orders, and encourage the audience to take action with respect to the matter.

In accordance with applicable law, direct lobbying communications by award recipients are also prohibited. Direct lobbying includes any attempt to influence legislative or other similar deliberations at all levels of government through communications that directly express a view on proposed or pending legislation and other orders and which are directed to members, staff, or

other employees of a legislative body or to government officials or employees who participate in the formulation of legislation or other orders.

Lobbying prohibitions also extend to include CDC/HHS grants and cooperative agreements that, in whole or in part, involve conferences. Federal funds cannot be used directly or indirectly to encourage participants in such conferences to impermissibly lobby. However, these prohibitions are not intended to prohibit all interaction with the legislative or executive branches of governments, or to prohibit educational efforts pertaining to public health that are within the scope of the CDC award. For state, local, and other governmental grantees, certain activities falling within the 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 are permissible. There are circumstances for such grantees, in the course of such a normal and recognized executive-legislative relationship, when it is permissible to provide information to the legislative branch in order to foster implementation of prevention strategies to promote public health.

However, such communications cannot directly urge the decision makers to act with respect to specific legislation or expressly solicit members of the public to contact the decision makers to urge such action.

Many non-profit grantees, in order to retain their tax-exempt status, have long operated under settled definitions of "lobbying" and "influencing legislation." These definitions are a useful benchmark for all non-government grantees, regardless of tax status. Under these definitions, grantees are permitted to (1) prepare and disseminate certain nonpartisan analysis, study, or research reports; (2) engage in examinations and discussions of broad social, economic, and similar problems in reports and at conferences; and (3) provide technical advice or assistance upon a written request by a legislative body or committee.

Award recipients should also note that using CDC/HHS funds to develop and/or disseminate materials that exhibit all three of the following characteristics are prohibited: (1) refer to specific legislation or other order; (2) reflect a point of view on that legislation or other order; and (3) contain an overt call to action.

It remains permissible for CDC/HHS grantees to use CDC funds to engage in activities to enhance prevention; collect and analyze data; publish and disseminate results of research and surveillance data; implement prevention strategies; conduct community outreach services; foster coalition building and consensus on public health initiatives; provide leadership and training, and foster safe and healthful environments.

Note also that under the provisions of 31 U.S.C. Section 1352, recipients (and their sub-tier contractors and/or funded parties) are prohibited from using appropriated Federal funds to lobby in connection with the award, extension, continuation, renewal, amendment, or modification of the funding mechanism under which monetary assistance was received. In accordance with applicable regulations and law, certain covered entities must give assurances that they will not engage in prohibited activities.

CDC cautions recipients of CDC funds to be careful not to give the appearance that CDC funds are being used to carry out activities in a manner that is prohibited under Federal law. Recipients of CDC funds should give close attention to isolating and separating the appropriate use of CDC funds from non-CDC funds.

Use of federal funds inconsistent with these lobbying restrictions could result in disallowance of the cost of the activity or action found not to be in compliance as well as potentially other enforcement actions as outlined in applicable grants regulations.

**NOTE 28. 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 as set forth here and in the Funding Opportunity Announcement Number IP13-1301 entitled, Immunization and Vaccines for Children Program, and is obligated to perform in accordance with the terms and conditions of the award. If the recipient cannot accept the terms and conditions, the recipient should notify the Grants Management Officer.

NOTE 29. CERTIFICATION STATEMENT: By drawing down funds, Awardee 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 are being used in accordance with applicable Federal cost principles, regulations and Budget and Congressional intent of the President.

NOTE 30. PAYMENT INFORMATION: 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.

a. 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  
Website: [http://www.dpm.psc.gov/grant\\_recipient/shortcuts/shortcuts.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/shortcuts/shortcuts.aspx?explorer.event=true)

Please 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

Note: Mr. Patel is the only staff person designated to handle all of CDC's international cooperative agreements.

b. 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.

#### NOTE 31. ADDITIONAL REQUIREMENTS

The Additional Requirements that apply to this grant or cooperative agreement are indicated below. The full text of the Additional Requirements may be found on the CDC web site at: [http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtml](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtml).

AR-7: Executive Order 12372 Review  
AR-8: Public Health System Reporting Requirements  
AR-10: Smoke-Free Workplace Requirements  
AR-11: Healthy People 2020  
AR-12: Lobbying Restrictions  
AR-14: Accounting System Requirements  
AR-15: Proof of Non-profit Status

AR-20: Conference Support  
AR-24: Health Insurance Portability and Accountability Act Requirements  
AR-25: Release and Sharing of Data  
AR-27: Conference Disclaimer and Use of Logos  
AR-29: Compliance with EO13513, "Federal Leadership on Reducing Text Messaging while Driving", October 1, 2009  
AR-30: Compliance with Section 508 of the Rehabilitation Act of 1973  
AR 32: FY 2012 Enacted General Provisions

**CDC CONTACTS:**

Programmatic and Technical Contact  
Denise Rogers, Acting Branch Chief  
Program Operations Branch, NCIRD  
Centers for Disease Control and Prevention  
1600 Clifton Road, NE, Mail Stop  
Atlanta, GA 30333  
Telephone: (404) 639-8313  
Email: [dqr2@cdc.gov](mailto:dqr2@cdc.gov)

**STAFF CONTACTS**

Grants Management Specialist: Constance J Jarvis  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
Koger Center, Colgate Building  
2920 Brandywine Road, Mail Stop K 14  
Atlanta, GA 30341  
Email: [cjarvis@cdc.gov](mailto:cjarvis@cdc.gov) Phone: 770-488-2859 Fax: 770-488-2044

Grants Management Officer: Peaches O Brown  
Center for Disease Control and Prevention  
CDC / ATSDR  
2920 Brandywine Road MS.K14  
Atlanta, GA 30341  
Email: [prb0@cdc.gov](mailto:prb0@cdc.gov) Phone: 770-488-2738 Fax: 770-488-2670

**SPREADSHEET SUMMARY**

**GRANT NUMBER: 5H23IP000725-02 REVISED**

**INSTITUTION: KY ST CABINET/HEALTH/FAMILY SERVICES**





**CABINET FOR HEALTH AND FAMILY SERVICES  
OFFICE OF THE SECRETARY**

**Steven L. Beshear**  
Governor

Department for Public Health  
Division of Administration & Financial Management  
275 East Main Street, HS1W-C  
Frankfort, KY 40601  
502-564-6663 \* Fax 502-564-0919

**Audrey Tayse Haynes**  
Secretary

**TO:** Tony Adkins, Branch Manager  
Division of General Accounting

**FROM:** Jenny Glass, Acting Branch Manager  
Division of Administration and Financial Management

**DATE:** August 4, 2014

**SUBJECT:** Grant Award

The Department for Public Health has received the following commitment from the Federal Government to finance certain allowable expenditures made on their behalf. Please assure the necessary grant/subprogram information is established to accommodate the required grant.

Title of Award /Grant: Immunization & Vaccines for Children Grants  
Award/Grant Period: 01/01/14-12/31/14 Award/Grant Amount: \$1,127,622  
Award/Grant No.: 5H23IP000725-02 REVISED CFDA No.: 93.268  
Contact Person: Nicole Broyles

**PRIMARY DEPARTMENT**

Program	Program Period	PBU	Agy	Amount	Total
<u>010500</u>	<u>13</u>	<u>SDF1-SDF6</u>	<u>728</u>	<u>\$1,127,622</u>	<u>\$3,761,478</u>

Based upon the attached "Notification of Grant Award" or other acceptable documentation, the Cabinet for Health Services is authorized to charge expenditures against this grant in the amount of \$3,761,478 beginning 01/01/14.



OFFICE OF THE SECRETARY  
DEPARTMENT OF HEALTH AND FAMILY SERVICES

STATE OF CALIFORNIA  
DEPARTMENT OF HEALTH AND FAMILY SERVICES  
OFFICE OF THE SECRETARY  
1501 CLAY STREET, SUITE 100  
SAN FRANCISCO, CALIFORNIA 94133  
TELEPHONE (415) 774-2000  
FACSIMILE (415) 774-2001

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DATE: \_\_\_\_\_  
SUBJECT: \_\_\_\_\_  
TO: \_\_\_\_\_  
FROM: \_\_\_\_\_

RE: \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



**Grant Number:** 5H23IP000725-02 REVISED  
**FAIN:** H23IP000725

**Principal Investigator(s):**  
ROBERT L. BRAWLEY, MD, MD

**Project Title:** KY IMMUNIZATION PROGRAM IMMUNIZATION & VACCINE FOR CHILDREN PROGRAM

KENTUCKY DEPT OF HEALTH  
STATE BUDGET BRANCH, ADMINISTRAT  
275 E. MAIN STREET  
FRANKFORT, KY 40621

**Award e-mailed to:** Tony.Adkins@ky.gov

**Budget Period:** 01/01/2014 – 12/31/2014  
**Project Period:** 01/01/2013 – 12/31/2017

**Dear Business Official:**

The Centers for Disease Control and Prevention hereby revises this award to reflect an increase in the amount of \$1,127,622 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to KENTUCKY ST CABINET FOR HEALTH & FAMILY SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS 317, 42 USC, SEC. 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,

Shelia Edwards  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

**SECTION I – AWARD DATA – 5H23IP000725-02 REVISED**

**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$721,772
Fringe Benefits	\$465,732
Supplies	\$203,997
Travel Costs	\$155,456
Other Costs	\$200,839
Consortium/Contractual Cost	\$1,848,373

Federal Direct Costs	\$3,596,169
Federal F&A Costs	\$165,309
Approved Budget	\$3,761,478
Federal Share	\$3,761,478
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$3,761,478</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$1,127,622**

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

03	\$3,836,351
04	\$3,836,351
05	\$3,836,351

**Fiscal Information:**

CFDA Number: 93.268  
 EIN: 1610600439B5  
 Document Number: HIP000725A

IC	CAN	2014	2015	2016	2017
IP	939006P	\$247,598			
IP	939006Q	\$70,281			
IP	939006S	\$413,718			
IP	939ZMLG	\$238,660			
IP	939ZRTU	\$11,983	\$3,836,351	\$3,836,351	\$3,836,351
IP	939ZRYH	\$2,779,238			

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR ( 2 )		
GRANT NUMBER	TOTAL FEDERAL AWARD AMOUNT	
5H23IP000725-02	\$3,761,478	
<b>TOTAL</b>	<b>\$3,761,478</b>	
SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$3,761,478	\$3,761,478
3	\$3,836,351	\$3,836,351
4	\$3,836,351	\$3,836,351
5	\$3,836,351	\$3,836,351

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: EDWARDSSH 07/31/2014

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5H23IP000725-02 REVISED**

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 – 5H23IP000725-02 REVISED**

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) H23IP000725. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

National Center For Immunization And Respiratory Diseases (IP)

**Treatment of Program Income:  
Additional Costs**

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**SECTION IV – IP Special Terms and Conditions – 5H23IP000725-02 REVISED**

**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT FOUR**

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 3 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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT THREE**

1. The purpose of this amended Notice of Award is to make an administrative change to the Fiscal Year (02) 2014 funding Common Accounting Numbers (CAN). Rcoblitate \$1,356,422 TO CAN 939ZRY11 and \$77,729 to CAN ZMLG for a total of \$1,434,151.
2. This is an internal administrative change, which does not affect the amount of your award.
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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT TWO**

1. The purpose of this amended Notice of Award is to make an administrative change to the Fiscal Year (02) 2014 funding Common Accounting Numbers (CAN). Deoblitate \$1,434,151 from can 939ZRY11.
2. This is an internal administrative change, which does not affect the amount of your award.
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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT ONE**

1. The purpose of this amendment is to provide additional 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. SPECIAL PROJECT FUNDING**

Federal Funds awarded for Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected without written, prior approval from the Grants Management Officer.

3. Travel and funding to the referenced Conferences are approved;

2014 Public Health Informatics Conference Atlanta, GA April 29 – May 1, 2014

2014 National Adult and Influenza Immunization Atlanta, GA - May 13 - May 15, 2014.

4. 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.

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#### TERMS AND CONDITIONS OF THIS AWARD

Funding Opportunity Announcement (FOA) Number: IP13-1301

**NOTE 1. INCORPORATION:** Funding Opportunity Announcement Number IP13-130102 entitled, Immunization and Vaccines for Children Program, the application dated 8/27/2013, and the attached Worksheet is made a part of this Non-Research award by reference.

**NOTE 2. CONTINUING RESOLUTION:**

CDC is operating under a continuing resolution and as a result the total available funding for the FY2014 twelve month budget period from January 1, 2014 through December 31, 2014, is contingent on approval of the appropriation bill.

Your current award amount is \$1,199,705. Additional funds may be awarded consistent with your approved submitted work plan. Based on the availability of FY14 funds subsequent funding will be provided.

**NOTE 3. INDIRECT COSTS**

The HHS approved cost allocation plan for the Kentucky Department for Public Health applies to this grant dated 04/23/2012.

**NOTE 4. BUDGET REQUIREMENT:** The grantee must submit a revised budget with narrative justification and work plan 60 days after receipt of final funding awarded for FY14. 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 must submit a letter explaining the reason and state the date by which the Grants Management Officer noted in Section IV. Staff Contacts will receive the information.

**NOTE 5. RENT OR SPACE COSTS:** Recipients 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 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). The recipient also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the recipient to ensure rent is a legitimate direct cost line item which the recipient 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 recipient must provide a narrative justification which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist noted in Section IV. Staff Contacts.

**NOTE 6. 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)

#### NOTE 7. FEDERAL REPORTING REQUIREMENTS

##### CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS:

All applicant organizations must obtain a DUN and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number is a nine-digit number assigned by Dun and Bradstreet Information Services. An AOR should be consulted to determine the appropriate number. If the organization does not have a DUNS number, an AOR should complete the *US D&B D-U-N-S Number Request Form* or contact Dun and Bradstreet by telephone directly at 1-866-705-5711 (toll-free) to obtain one. A DUNS number will be provided immediately by telephone at no charge. Note this is an organizational number. Individual Program Directors/Principal Investigators do not need to register for a DUNS.

Additionally, all applicant organizations must register in the Central Contractor Registry (CCR) and maintain the registration with current information at all times during which it has an application under consideration for funding by CDC and, if an award is made, until a final financial report is submitted or the final payment is received, whichever is later. CCR is the primary registrant database for the Federal government and is the 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 CCR internet site at [www.ccr.gov](http://www.ccr.gov)

If an award is granted, the grantee organization must notify potential sub-recipients that no organization may receive a subaward under the grant unless the organization has provided its DUNS number to the grantee organization.

##### FEDERAL FUNDING ACCOUNTABILITY and TRANSPARENCY (FFATA):

In accordance with 2 CFR Chapter 1, Part 170 REPORTING SUB-AWARD AND EXECUTIVE COMPENSATION INFORMATION, Prime grantees 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 grantee awards any sub-grant equal to or greater than \$25,000. For instructions of reporting please visit: <http://www.fsr.gov>

##### NON DELINQUENCY on FEDERAL DEBT

The Federal Debt Collection Procedures Act of 1990 (Act), 28 U.S.C. 3201 (e), provides that an organization or individual that is indebted to the United States, and has a judgment lien filed against it, is ineligible to receive a Federal grant. CDC cannot award a grant unless the AOR of the applicant organization (or individual in the case of a Kirschstein-NRSA individual fellowship) certifies, by means of his/her signature on the application, that the organization (or individual) is not delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal government, CDC may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, CDC will take that delinquency into account when determining whether the applicant would be a responsible CDC grant recipient.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for a CDC grant until the judgment is paid in full or is otherwise satisfied. No funds may be used for or rebudgeted following an award to pay such an individual. CDC will disallow costs charged to awards that provide funds to individuals in violation of this Act.

These requirements apply to all types of organizations and awards, including foreign grants.

**NOTE 8. Federal Funds awarded for 317, VFC Operations, VFC/AFIX, VFC Ordering, VFC Distribution, and Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected between funding sources without prior approval of the Grants Management Officer.**

**NOTE 9. 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 notice of award. The request must be submitted by September 1, 2014 and submitted with an original plus two copies. 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.

Prior approval is required but is not limited to the following types of requests: 1) Use of unobligated funds from prior budget period (Carryover); 2) Lift funding restriction, withholding, or disallowance, 3) Redirection of funds, 4) Change in Contractor/Consultant; 5) Supplemental funds; 6) Response to Technical Review or Summary Statement, 7) Change in Key Personnel, or 8) Liquidation Extensions.

**NOTE 10. ANNUAL FEDERAL FINANCIAL REPORT (FFR)(SF 425):**

The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons within 90 days after the end of each budget period. The FFR for this budget period is due to the Grants Management Specialist by March 31, 2015. Reporting timeframe is January 1, 2013 through December 31, 2014.

eRA Commons website: <http://era.nih.gov/>

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.

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 submit a letter explaining the reason and date by which the Grants Officer will receive the information.

If the FFR is not finalized by the due date, an interim FFR must be submitted, marked NOT FINAL, and an amount of un-liquidated obligations should be annotated to reflect unpaid expenses.

**NOTE 11. PROGRESS/PERFORMANCE REPORTING:**

a. The Interim Progress Report (IPR) will serve as the non-competing continuation application. The IPR is due no less than 90 days before the end of the budget period. A due date and specific IPR guidance will be provided at a later date. The IPR must contain the following elements:

- i. Standard Form (SF) 424S Form
- ii. SF424A Budget Information-Non-Construction Programs
- iii. Budget Narrative (Budget Guidelines at <http://www.cdc.gov/od/pgo/funding/grantmain.htm>)
- iv. Indirect Cost Rate Agreement
- v. Project Narrative

The Final Progress Report is required no later than 90 days after the end of the project period. All manuscripts published as a result of the work supported in part or whole by the cooperative agreement will be submitted with the progress reports.

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



Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 17. CORRESPONDENCE:** ALL correspondence (including emails and faxes) regarding this award must be dated, identified with the AWARD NUMBER, and include a point of contact (name, phone, fax, and email). All correspondence should be addressed to the Grants Management Specialist listed below and submitted with an original plus two copies.

Constance Jarvis, Grants Management Specialist  
Centers for Disease Control, PGO, Branch II  
2920 Brandywine Road, Mail Stop K15  
Atlanta, GA 30341-4146  
Telephone: (770) 488-2859  
Fax: (770) 488-8350  
Email: abq3@cdc.gov

**NOTE 18. INVENTIONS:** Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR 401.14.

**NOTE 19. 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 Cooperative Agreement Number above from 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.

**NOTE 20: 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.

**NOTE 21. CONFERENCE DISCLAIMER AND USE OF LOGOS:**

Disclaimer. If a conference is funded by a grant, cooperative agreement, sub-grant and/or a contract the recipient 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 do not 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.

Logos. 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.

**NOTE 22. 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) Circular A-110 and 45 CFR Part 92:

i. Office of Management and Budget (OMB) Circular A-110, Sections 31 through 37 provides the uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations. For additional information, please review the following website: <http://www.whitehouse.gov/omb/circulars/a110/a110.html>

ii. 45 CFR Parts 92.31 and 92.32 provides the uniform administrative requirements for grants and cooperative agreements to state, local and tribal governments. For additional information, please review the following website listed:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr92\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr92_03.html)

**NOTE 23. PROGRAM INCOME:** Any program income generated under this cooperative agreement will be used in accordance with the additional cost alternative. The disposition of program income must have written prior approval from the Grants Management Officer.

**Additional Costs Alternative--**Used for costs that are in addition to the allowable costs of the project for any purposes that further the objectives of the legislation under which the cooperative agreement was made. General program income subject to this alternative shall be reported on the FFR, as appropriate.

**NOTE 24. KEY PERSONNEL:** In accordance with 45 CFR 74.25(c)(2) & (3) CDC recipients shall obtain prior approvals from CDC for (1) change in the project director or principal investigator or other key persons specified in the application or award document, and (2) the absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**NOTE 25. TRAFFICKING IN PERSONS.** 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 terms and conditions, please review the following website:  
[http://www.cdc.gov/od/pgo/funding/grants/Award\\_Term\\_and\\_Condition\\_for\\_Trafficking\\_in\\_Persons.shtm](http://www.cdc.gov/od/pgo/funding/grants/Award_Term_and_Condition_for_Trafficking_in_Persons.shtm)

**NOTE 26. 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 recipients of Federal research grants, 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) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

**NOTE 27. LOBBYING RESTRICTIONS (June 2012):** Applicants should be aware that award recipients are prohibited from using CDC/HHS funds to engage in any lobbying activity. Specifically, no part of the federal award shall be used to pay the salary or expenses of any grant recipient, subrecipient, or agent acting for such recipient or subrecipient, 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.

Restrictions on lobbying activities described above also specifically apply to lobbying related to 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.

This prohibition includes grass roots lobbying efforts by award recipients that are directed at inducing members of the public to contact their elected representatives to urge support of, or opposition to, proposed or pending legislation, appropriations, regulations, administrative actions, or Executive Orders (hereinafter referred to collectively as "legislation and other orders"). Further prohibited grass roots lobbying communications by award recipients using federal funds could also encompass any effort to influence legislation through an attempt to affect the opinions of the general public or any segment of the population if the communications refer to specific legislation and/or other orders, directly express a view on such legislation or other orders, and encourage the audience to take action with respect to the matter.

In accordance with applicable law, direct lobbying communications by award recipients are also prohibited. Direct lobbying includes any attempt to influence legislative or other similar deliberations at all levels of government through communications that directly express a view on proposed or pending legislation and other orders and which are directed to members, staff, or other employees of a legislative body or to government officials or employees who participate in the formulation of legislation or other orders.

Lobbying prohibitions also extend to include CDC/HHS grants and cooperative agreements that, in whole or in part, involve conferences. Federal funds cannot be used directly or indirectly to encourage participants in such conferences to impermissibly lobby. However, these prohibitions are not intended to prohibit all interaction with the legislative or executive branches of governments, or to prohibit educational efforts pertaining to public health that are within the scope of the CDC award. For state, local, and other governmental grantees, certain activities falling within the 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 are permissible. There are circumstances for such grantees, in the course of such a normal and recognized executive-legislative relationship, when it is permissible to provide information to the legislative branch in order to foster implementation of prevention strategies to promote public health.

However, such communications cannot directly urge the decision makers to act with respect to specific legislation or expressly solicit members of the public to contact the decision makers to urge such action.

Many non-profit grantees, in order to retain their tax-exempt status, have long operated under settled definitions of "lobbying" and "influencing legislation." These definitions are a useful benchmark for all non-government grantees, regardless of tax status. Under these definitions, grantees are permitted to (1) prepare and disseminate certain nonpartisan analysis, study, or research reports; (2) engage in examinations and discussions of broad social, economic, and similar problems in reports and at conferences; and (3) provide technical advice or assistance upon a written request by a legislative body or committee.

Award recipients should also note that using CDC/HHS funds to develop and/or disseminate materials that exhibit all three of the following characteristics are prohibited: (1) refer to specific legislation or other order; (2) reflect a point of view on that legislation or other order; and (3) contain an overt call to action.

It remains permissible for CDC/HHS grantees to use CDC funds to engage in activities to enhance prevention; collect and analyze data; publish and disseminate results of research and surveillance data; implement prevention strategies; conduct community outreach services; foster coalition building and consensus on public health initiatives; provide leadership and training, and foster safe and healthful environments.

Note also that under the provisions of 31 U.S.C. Section 1352, recipients (and their sub-tier contractors and/or funded parties) are prohibited from using appropriated Federal funds to lobby in connection with the award, extension, continuation, renewal, amendment, or modification of the funding mechanism under which monetary assistance was received. In accordance with

applicable regulations and law, certain covered entities must give assurances that they will not engage in prohibited activities.

CDC cautions recipients of CDC funds to be careful not to give the appearance that CDC funds are being used to carry out activities in a manner that is prohibited under Federal law. Recipients of CDC funds should give close attention to isolating and separating the appropriate use of CDC funds from non-CDC funds.

Use of federal funds inconsistent with these lobbying restrictions could result in disallowance of the cost of the activity or action found not to be in compliance as well as potentially other enforcement actions as outlined in applicable grants regulations.

**NOTE 28. 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 as set forth here and in the Funding Opportunity Announcement Number IP13-1301 entitled, Immunization and Vaccines for Children Program, and is obligated to perform in accordance with the terms and conditions of the award. If the recipient cannot accept the terms and conditions, the recipient should notify the Grants Management Officer.

**NOTE 29. CERTIFICATION STATEMENT:** By drawing down funds, Awardee 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 are being used in accordance with applicable Federal cost principles, regulations and Budget and Congressional intent of the President.

**NOTE 30. PAYMENT INFORMATION:** 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.

a. 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  
Website: [http://www.dpm.psc.gov/grant\\_recipient/shortcuts/shortcuts.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/shortcuts/shortcuts.aspx?explorer.event=true)

**Please 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

Note: Mr. Patel is the only staff person designated to handle all of CDC's international cooperative agreements.

b. 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.

**NOTE 31. ADDITIONAL REQUIREMENTS**

The Additional Requirements that apply to this grant or cooperative agreement are indicated below. The full text of the Additional Requirements may be found on the CDC web site at: [http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtml](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtml).

AR-7: Executive Order 12372 Review  
AR-8: Public Health System Reporting Requirements  
AR-10: Smoke-Free Workplace Requirements  
AR-11: Healthy People 2020  
AR-12: Lobbying Restrictions  
AR-14: Accounting System Requirements  
AR-15: Proof of Non-profit Status  
AR-20: Conference Support  
AR-24: Health Insurance Portability and Accountability Act Requirements  
AR-25: Release and Sharing of Data  
AR-27: Conference Disclaimer and Use of Logos  
AR-29: Compliance with EO13513, "Federal Leadership on Reducing Text Messaging while Driving", October 1, 2009  
AR-30: Compliance with Section 508 of the Rehabilitation Act of 1973  
AR 32: FY 2012 Enacted General Provisions

**CDC CONTACTS:**

Programmatic and Technical Contact  
Denise Rogers, Acting Branch Chief  
Program Operations Branch, NCIRD  
Centers for Disease Control and Prevention  
1600 Clifton Road, NE, Mail Stop  
Atlanta, GA 30333  
Telephone: (404) 639-8313  
Email: [dqr2@cdc.gov](mailto:dqr2@cdc.gov)

**STAFF CONTACTS**

Grants Management Specialist: Constance J Jarvis  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
Koger Center, Colgate Building  
2920 Brandywine Road, Mail Stop K 14  
Atlanta, GA 30344  
Email: [cjarvis@cdc.gov](mailto:cjarvis@cdc.gov) Phone: 770-488-2859 Fax: 770-488-2044

Grants Management Officer: Shelia Edwards  
Center for Disease Control and Prevention  
Procurement and Grants Office  
Koger Center, Stanford Building  
2920 Brandywine Road, Mail Stop E-15  
Atlanta, GA 30341  
Email: [fyq5@cdc.gov](mailto:fyq5@cdc.gov) Phone: 770-488-1644

**SPREADSHEET SUMMARY**

**GRANT NUMBER: 5H23IP000725-02 REVISED**

**INSTITUTION: KY ST CABINET/HEALTH/FAMILY SERVICES**

Budget	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$721,772			
Fringe Benefits	\$465,732			
Supplies	\$203,997			
Travel Costs	\$155,456			
Other Costs	\$200,839	\$3,836,351	\$3,836,351	\$3,836,351
Consortium/Contractual Cost	\$1,846,373			
TOTAL FEDERAL DC	\$3,596,169	\$3,836,351	\$3,836,351	\$3,836,351
TOTAL FEDERAL F&A	\$165,309			
TOTAL COST	\$3,761,478	\$3,836,351	\$3,836,351	\$3,836,351



**CABINET FOR HEALTH AND FAMILY SERVICES  
OFFICE OF THE SECRETARY**

**Steven L. Beshear**  
Governor

Department for Public Health  
Division of Administration & Financial Management  
275 East Main Street, HS1W-C  
Frankfort, KY 40601  
502-564-6663 \* Fax 502-564-0919

**Audrey Tayse Haynes**  
Secretary

**TO:** Tony Adkins, Branch Manager  
Division of General Accounting

**FROM:** Jenny Glass, Acting Branch Manager  
Division of Administration and Financial Management

**DATE:** August 4, 2014

**SUBJECT:** Grant Award

The Department for Public Health has received the following commitment from the Federal Government to finance certain allowable expenditures made on their behalf. Please assure the necessary grant/subprogram information is established to accommodate the required grant.

Title of Award /Grant: Immunization & Vaccines for Children Grants  
Award/Grant Period: 01/01/14-12/31/14 Award/Grant Amount: \$59,088  
Award/Grant No.: 5H23IP000725-02 REVISED CFDA No.: 93.268  
Contact Person: Nicole Broyles

**PRIMARY DEPARTMENT**

Program	Program Period	PBU	Agy	Amount	Total
<u>010500</u>	<u>13</u>	<u>SDF1-SDF6</u>	<u>728</u>	<u>\$59,088</u>	<u>\$3,820,566</u>

Based upon the attached "Notification of Grant Award" or other acceptable documentation, the Cabinet for Health Services is authorized to charge expenditures against this grant in the amount of \$3,820,566 beginning 01/01/14.



**RESOURCE PROGRAMS**  
Department of Health and Human Services  
Centers for Disease Control and Prevention  
**NATIONAL CENTER FOR IMMUNIZATION AND RESPIRATORY DISEASES**

Notice of Award

Issue Date: 09/10/2014



**Grant Number:** 5H23IP000725-02 REVISED  
**FAIN:** H23IP000725

**Principal Investigator(s):**  
ROBERT L. BRAWLEY, MD, MD

**Project Title:** KY IMMUNIZATION PROGRAM IMMUNIZATION & VACCINE FOR CHILDREN PROGRAM

KENTUCKY DEPT OF HEALTH  
STATE BUDGET BRANCH, ADMINISTRAT  
275 E. MAIN STREET  
FRANKFORT, KY 40621

**Award e-mailed to:** Tony.Adkins@ky.gov

**Budget Period:** 01/01/2014 – 12/31/2014  
**Project Period:** 01/01/2013 – 12/31/2017

Dear Business Official:

The Centers for Disease Control and Prevention hereby revises this award to reflect an increase in the amount of \$59,088 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to KENTUCKY ST CABINET FOR HEALTH & FAMILY SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS 317, 42 USC, SEC. 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,

Shelia Edwards  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

**SECTION I -- AWARD DATA -- 5H23IP000725-02 REVISED**

**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$746,254
Fringe Benefits	\$465,732
Supplies	\$203,997
Travel Costs	\$155,456
Other Costs	\$235,445
Consortium/Contractual Cost	\$1,848,373

Federal Direct Costs	\$3,655,257
Federal F&A Costs	\$165,309
Approved Budget	\$3,820,566
Federal Share	\$3,820,566
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$3,820,566</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$59,088**

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

03	\$3,836,351
04	\$3,836,351
05	\$3,836,351

**Fiscal Information:**

CFDA Number: 93.268  
 EIN: 1610600439B5  
 Document Number: HIP000725A

IC	CAN	2014	2015	2016	2017
IP	939006P	\$272,080			
IP	939006Q	\$70,281			
IP	939006S	\$413,718			
IP	93901D5	\$34,606			
IP	939ZMLG	\$238,660			
IP	939ZRTU	\$11,983	\$3,836,351	\$3,836,351	\$3,836,351
IP	939ZRYH	\$2,779,238			

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR ( 2 )		
GRANT NUMBER	TOTAL FEDERAL AWARD AMOUNT	
5H23IP000725-02	\$3,820,566	
3H23IP000725-02S1	\$963,138	
<b>TOTAL</b>	<b>\$4,783,704</b>	
SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$3,820,566	\$4,783,704
3	\$3,836,351	\$3,836,351
4	\$3,836,351	\$3,836,351
5	\$3,836,351	\$3,836,351

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 09/10/2014

**SECTION II -- PAYMENT/HOTLINE INFORMATION -- 5H23IP000725-02 REVISED**

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 hhstips@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 – 5H23IP000725-02 REVISED**

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) H23IP000725. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

National Center For Immunization And Respiratory Diseases (IP)

**Treatment of Program Income:  
Additional Costs**

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**SECTION IV – IP Special Terms and Conditions – 5H23IP000725-02 REVISED**

**TERMS AND CONDITIONS OF THIS AWARD  
AMENDMENT FIVE**

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 4 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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT FOUR**

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 3 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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT THREE**

1. The purpose of this amended Notice of Award is to make an administrative change to the Fiscal Year (02) 2014 funding Common Accounting Numbers (CAN). Reobligate \$1,356,422 TO CAN 939ZRYH and \$77,729 to CAN ZMLG for a total of \$1,434,151.

2. This is an internal administrative change, which does not affect the amount of your award.

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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT TWO**

1. The purpose of this amended Notice of Award is to make an administrative change to the Fiscal Year (02) 2014 funding Common Accounting Numbers (CAN). Deobligate \$1,434,151 from can 939ZRYH.
2. This is an internal administrative change, which does not affect the amount of your award.
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.

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**TERMS AND CONDITIONS OF THIS AWARD**

**AMENDMENT ONE**

1. The purpose of this amendment is to provide additional 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. SPECIAL PROJECT FUNDING**

Federal Funds awarded for Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected without written, prior approval from the Grants Management Officer.

3. Travel and funding to the referenced Conferences are approved;

2014 Public Health Informatics Conference Atlanta, GA April 29 – May 1, 2014

2014 National Adult and Influenza Immunization Atlanta, GA - May 13 - May 15, 2014.

4. 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.

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**TERMS AND CONDITIONS OF THIS AWARD**

Funding Opportunity Announcement (FOA) Number: IP13-1301

**NOTE 1. INCORPORATION:** Funding Opportunity Announcement Number IP13-130102 entitled, Immunization and Vaccines for Children Program, the application dated 8/27/2013, and the attached Worksheet is made a part of this Non-Research award by reference.

**NOTE 2. CONTINUING RESOLUTION:**

CDC is operating under a continuing resolution and as a result the total available funding for the FY2014 twelve month budget period from January 1, 2014 through December 31, 2014, is contingent on approval of the appropriation bill.

Your current award amount is \$1,199,705. Additional funds may be awarded consistent with your approved submitted work plan. Based on the availability of FY14 funds subsequent funding will be provided.

**NOTE 3. INDIRECT COSTS**

The HHS approved cost allocation plan for the Kentucky Department for Public Health applies to this grant dated 04/23/2012.

**NOTE 4. BUDGET REQUIREMENT:** The grantee must submit a revised budget with narrative justification and work plan 60 days after receipt of final funding awarded for FY14. 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 must submit a letter explaining the reason and state the date by which the Grants Management Officer noted in Section IV. Staff Contacts will receive the information.

**NOTE 5. RENT OR SPACE COSTS:** Recipients 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 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). The recipient also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the recipient to ensure rent is a legitimate direct cost line item which the recipient 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 recipient must provide a narrative justification which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist noted in Section IV. Staff Contacts.

**NOTE 6. 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)

#### **NOTE 7. FEDERAL REPORTING REQUIREMENTS**

**CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS:** All applicant organizations **must obtain** a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number is a nine-digit number assigned by Dun and Bradstreet Information Services. An AOR should be consulted to determine the appropriate number. If the organization does not have a DUNS number, an AOR should complete the **US D&B D-U-N-S Number Request Form** or contact Dun and Bradstreet by telephone directly at 1-866-705-5711 (toll-free) to obtain one. A DUNS number will be provided immediately by telephone at no charge. Note this is an organizational number. Individual Program Directors/Principal Investigators do not need to register for a DUNS. Additionally, all applicant organizations must register in the Central Contractor Registry (CCR) and maintain the registration with current information at all times during which it has an application under consideration for funding by CDC and, if an award is made, until a final financial report is submitted or the final payment is received, whichever is later. CCR is the primary registrant database for the Federal government and is the 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 CCR internet site at [www.ccr.gov](http://www.ccr.gov)

If an award is granted, the grantee organization must notify potential sub-recipients that no organization may receive a subaward under the grant unless the organization has provided its DUNS number to the grantee organization.

**FEDERAL FUNDING ACCOUNTABILITY and TRANSPARENCY (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 REPORTING SUB-AWARD AND EXECUTIVE COMPENSATION INFORMATION, Prime grantees 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 grantee awards any sub-grant equal to or greater than \$25,000. For instructions of reporting please visit: <http://www.fsrs.gov>

**NON-DELINQUENCY on FEDERAL DEBT**

The Federal Debt Collection Procedures Act of 1990 (Act), 28 U.S.C. 3201(e), provides that an organization or individual that is indebted to the United States, and has a judgment lien filed against it, is ineligible to receive a Federal grant. CDC cannot award a grant unless the AOR of the applicant organization (or individual in the case of a Kirschstein-NRSA individual fellowship) certifies, by means of his/her signature on the application, that the organization (or individual) is not delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal government, CDC may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, CDC will take that delinquency into account when determining whether the applicant would be a responsible CDC grant recipient.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for a CDC grant until the judgment is paid in full or is otherwise satisfied. No funds may be used for or rebudgeted following an award to pay such an individual. CDC will disallow costs charged to awards that provide funds to individuals in violation of this Act.

These requirements apply to all types of organizations and awards, including foreign grants.

**NOTE 8. Federal Funds awarded for 317, VFC Operations, VFC/AFIX, VFC Ordering, VFC Distribution, and Pandemic Influenza must be accounted for by funding source to ensure that these funds are only used for these categorical allowable activities. These funds may not be redirected between funding sources without prior approval of the Grants Management Officer.**

**NOTE 9. 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 notice of award. The request must be submitted by September 1, 2014 and submitted with an original plus two copies. 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.

Prior approval is required but is not limited to the following types of requests: 1) Use of unobligated funds from prior budget period (Carryover); 2) Lift funding restriction, withholding, or disallowance, 3) Redirection of funds, 4) Change in Contractor/Consultant; 5) Supplemental funds; 6) Response to Technical Review or Summary Statement, 7) Change in Key Personnel, or 8) Liquidation Extensions.

**NOTE 10. ANNUAL FEDERAL FINANCIAL REPORT (FFR)(SF 425):**

The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons within 90 days after the end of each budget period. The FFR for this budget period is due to the Grants Management Specialist by March 31, 2015. Reporting timeframe is January 1, 2013 through December 31, 2014.

eRA Commons website: <http://era.nih.gov/>

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.

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 submit a letter explaining the reason and date by which the Grants Officer will receive the information.

If the FFR is not finalized by the due date, an interim FFR must be submitted, marked NOT FINAL, and an amount of un-liquidated obligations should be annotated to reflect unpaid expenses.

**NOTE 11. PROGRESS/PERFORMANCE REPORTING:**

a. The Interim Progress Report (IPR) will serve as the non-competing continuation application. The IPR is due no less than 90 days before the end of the budget period. A due date and specific IPR guidance will be provided at a later date. The IPR must contain the following elements:

- i. Standard Form (SF) 424S Form
- ii. SF424A Budget Information-Non-Construction Programs
- iii. Budget Narrative (Budget Guidelines at <http://www.cdc.gov/od/pgo/funding/grantmain.htm>)
- iv. Indirect Cost Rate Agreement
- v. Project Narrative

The Final Progress Report is required no later than 90 days after the end of the project period. All manuscripts published as a result of the work supported in part or whole by the cooperative agreement will be submitted with the progress reports.

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

**NOTE 12. 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 months after the end of the audit period.

The audit report must be sent to:  
Federal Audit Clearing House  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132

Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696, or email: [govs.fac@census.gov](mailto:govs.fac@census.gov)

It is very helpful to CDC managers if the recipient sends a courtesy copy of completed audits and any management letters on a voluntary basis to the following address.

Centers for Disease Control and Prevention (CDC)  
ATTN: Audit Resolution, Mail Stop E-14  
2920 Brandywine Road  
Atlanta, GA 30341-4146

The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or cooperative agreement funds received exceed \$500,000). 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 Federal law and regulations. The grantee is to 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 should include this requirement in all sub-recipient contracts.

**NOTE 13. SUBGRANT/SUBRECIPIENT AWARDS:** Seed Grants/Sub-Grants are not authorized under this program or included in Program authorizing legislature. As a result, the recipient is not permitted to fund seed grants or sub-grants. Recipient must issue proposed funding as a procurement requirement per the organization's established procedures.

**NOTE 14. TRAVEL GUIDANCE:** TRAVEL TO THE FOLLOWING CDC SPONSORED OR CO-SPONSORED MEETINGS IS APPROVED BUT NOT FUNDED AT THIS TIME.

ADVISORY COMMITTEE ON IMMUNIZATION PRACTICES CONFERENCE, NATIONAL IMMUNIZATION CONFERENCE, PROGRAM MANAGERS MEETINGS, PAN FLU SUMMIT, AND THE PUBLIC HEALTH INFORMATICS CONFERENCE.

PLEASE MONITOR FUTURE NOTICES OF AWARDS FOR INFORMATION ON WHEN FUNDS MAY BE AVAILABLE FOR TRAVEL TO THESE MEETINGS.

**NOTE 15. 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, recipient is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 16. FOOD AND MEALS:** Costs associated with food or meals are allowable when consistent OMB Circulars and guidance, DHHS Federal regulations, Program Regulations, DHHS policies and guidance. In addition, costs must be proposed in accordance with recipients approved policies and a determination of reasonableness has been performed by the recipients. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 17. CORRESPONDENCE:** ALL correspondence (including emails and faxes) regarding this award must be dated, identified with the AWARD NUMBER, and include a point of contact (name, phone, fax, and email). All correspondence should be addressed to the Grants Management Specialist listed below and submitted with an original plus two copies.

Constance Jarvis, Grants Management Specialist  
Centers for Disease Control, PGO, Branch II  
2920 Brandywine Road, Mail Stop K15  
Atlanta, GA 30341-4146  
Telephone: (770) 488-2859  
Fax: (770) 488-8350  
Email: abq3@cdc.gov

**NOTE 18. INVENTIONS:** Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR 401.14.

**NOTE 19. 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 Cooperative Agreement Number above from 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.

**NOTE 20. 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.

**NOTE 21. CONFERENCE DISCLAIMER AND USE OF LOGOS:**

**Disclaimer.** If a conference is funded by a grant, cooperative agreement, sub-grant and/or a contract the recipient 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 do not 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

**Logos.** 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.

**NOTE 22. 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) Circular A-110 and 45 CFR Part 92:

i. Office of Management and Budget (OMB) Circular A-110, Sections 31 through 37 provides the uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations. For additional information, please review: the following website: <http://www.whitehouse.gov/omb/circulars/a110/a110.html>

ii. 45 CFR Parts 92.31 and 92.32 provides the uniform administrative requirements for grants and cooperative agreements to state, local and tribal governments. For additional information, please review the following website listed: [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr92\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr92_03.html)

**NOTE 23. PROGRAM INCOME:** Any program income generated under this cooperative agreement will be used in accordance with the additional cost alternative. The disposition of program income must have written prior approval from the Grants Management Officer.

**Additional Costs Alternative--Used for costs that are in addition to the allowable costs of the project for any purposes that further the objectives of the legislation under which the cooperative agreement was made. General program income subject to this alternative shall be reported on the FFR, as appropriate.**

**NOTE 24. KEY PERSONNEL:** In accordance with 45 CFR 74.25(c)(2) & (3) CDC recipients shall obtain prior approvals from CDC for (1) change in the project director or principal investigator or

other key persons specified in the application or award document, and (2) the absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**NOTE 25. TRAFFICKING IN PERSONS.** 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 terms and conditions, please review the following website: [http://www.cdc.gov/od/pgo/funding/grants/Award\\_Term\\_and\\_Condition\\_for\\_Trafficking\\_in\\_Persons.shtml](http://www.cdc.gov/od/pgo/funding/grants/Award_Term_and_Condition_for_Trafficking_in_Persons.shtml)

**NOTE 26. 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 recipients of Federal research grants, 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) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

**NOTE 27. LOBBYING RESTRICTIONS (June 2012):** Applicants should be aware that award recipients are prohibited from using CDC/HHS funds to engage in any lobbying activity. Specifically, no part of the federal award shall be used to pay the salary or expenses of any grant recipient, subrecipient, or agent acting for such recipient or subrecipient, 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.

Restrictions on lobbying activities described above also specifically apply to lobbying related to 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.

This prohibition includes grass roots lobbying efforts by award recipients that are directed at inducing members of the public to contact their elected representatives to urge support of, or opposition to, proposed or pending legislation, appropriations, regulations, administrative actions, or Executive Orders (hereinafter referred to collectively as "legislation and other orders"). Further prohibited grass roots lobbying communications by award recipients using federal funds could also encompass any effort to influence legislation through an attempt to affect the opinions of the general public or any segment of the population if the communications refer to specific legislation and/or other orders, directly express a view on such legislation or other orders, and encourage the audience to take action with respect to the matter.

In accordance with applicable law, direct lobbying communications by award recipients are also prohibited. Direct lobbying includes any attempt to influence legislative or other similar deliberations at all levels of government through communications that directly express a view on proposed or pending legislation and other orders and which are directed to members, staff, or other employees of a legislative body or to government officials or employees who participate in the formulation of legislation or other orders.

Lobbying prohibitions also extend to include CDC/HHS grants and cooperative agreements that, in whole or in part, involve conferences. Federal funds cannot be used directly or indirectly to encourage participants in such conferences to impermissibly lobby. However, these prohibitions are not intended to prohibit all interaction with the legislative or executive branches of governments, or to prohibit educational efforts pertaining to public health that are within the scope of the CDC award. For state, local, and other governmental grantees, certain activities falling within the 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 are permissible. There are circumstances for such grantees, in the course of such a normal and recognized executive-legislative relationship, when it is permissible to provide information to the legislative branch in order to foster implementation of prevention strategies to promote public health.

However, such communications cannot directly urge the decision makers to act with respect to specific legislation or expressly solicit members of the public to contact the decision makers to urge such action.

Many non-profit grantees, in order to retain their tax-exempt status, have long operated under settled definitions of "lobbying" and "influencing legislation." These definitions are a useful benchmark for all non-government grantees, regardless of tax status. Under these definitions, grantees are permitted to (1) prepare and disseminate certain nonpartisan analysis, study, or research reports; (2) engage in examinations and discussions of broad social, economic, and similar problems in reports and at conferences; and (3) provide technical advice or assistance upon a written request by a legislative body or committee.

Award recipients should also note that using CDC/HHS funds to develop and/or disseminate materials that exhibit all three of the following characteristics are prohibited: (1) refer to specific legislation or other order; (2) reflect a point of view on that legislation or other order; and (3) contain an overt call to action.

It remains permissible for CDC/HHS grantees to use CDC funds to engage in activities to enhance prevention; collect and analyze data; publish and disseminate results of research and surveillance data; implement prevention strategies; conduct community outreach services; foster coalition building and consensus on public health initiatives; provide leadership and training, and foster safe and healthful environments.

Note also that under the provisions of 31 U.S.C. Section 1352, recipients (and their sub-tier contractors and/or funded parties) are prohibited from using appropriated Federal funds to lobby in connection with the award, extension, continuation, renewal, amendment, or modification of the funding mechanism under which monetary assistance was received. In accordance with applicable regulations and law, certain covered entities must give assurances that they will not engage in prohibited activities.

CDC cautions recipients of CDC funds to be careful not to give the appearance that CDC funds are being used to carry out activities in a manner that is prohibited under Federal law. Recipients of CDC funds should give close attention to isolating and separating the appropriate use of CDC funds from non-CDC funds.

Use of federal funds inconsistent with these lobbying restrictions could result in disallowance of the cost of the activity or action found not to be in compliance as well as potentially other enforcement actions as outlined in applicable grants regulations.

**NOTE 28. 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 as set forth here and in the Funding Opportunity Announcement Number IP13-1301 entitled, Immunization and Vaccines for Children Program, and is obligated to perform in accordance with the terms and conditions of the award. If the recipient cannot accept the terms and conditions, the recipient should notify the Grants Management Officer.

**NOTE 29. CERTIFICATION STATEMENT:** By drawing down funds, Awardee 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 are being used in accordance with applicable Federal cost principles, regulations and Budget and Congressional intent of the President.

**NOTE 30. PAYMENT INFORMATION:** 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.

a. 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  
Website: [http://www.dpm.psc.gov/grant\\_recipient/shortcuts/shortcuts.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/shortcuts/shortcuts.aspx?explorer.event=true)

**Please 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\_

Note: Mr. Patel is the only staff person designated to handle all of CDC's international cooperative agreements.

b. 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.

#### NOTE 31. ADDITIONAL REQUIREMENTS

The Additional Requirements that apply to this grant or cooperative agreement are indicated below. The full text of the Additional Requirements may be found on the CDC web site at: [http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtm](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm).

AR-7: Executive Order 12372 Review  
AR-8: Public Health System Reporting Requirements  
AR-10: Smoke-Free Workplace Requirements  
AR-11: Healthy People 2020  
AR-12: Lobbying Restrictions  
AR-14: Accounting System Requirements  
AR-15: Proof of Non-profit Status  
AR-20: Conference Support  
AR-24: Health Insurance Portability and Accountability Act Requirements  
AR-25: Release and Sharing of Data  
AR-27: Conference Disclaimer and Use of Logos  
AR-29: Compliance with EO13513, "Federal Leadership on Reducing Text Messaging while Driving", October 1, 2009  
AR-30: Compliance with Section 508 of the Rehabilitation Act of 1973  
AR 32: FY 2012 Enacted General Provisions

#### CDC CONTACTS:

Programmatic and Technical Contact  
Denise Rogers, Acting Branch Chief  
Program Operations Branch, NCIRD  
Centers for Disease Control and Prevention  
1600 Clifton Road, NE, Mail Stop  
Atlanta, GA 30333  
Telephone: (404) 639-8313\_

Email: [dqr2@cdc.gov](mailto:dqr2@cdc.gov)

**STAFF CONTACTS**

**Grants Management Specialist:** Constance J Jarvis  
Centers for Disease Control and Prevention  
Procurement and Grants Office  
Koger Center, Colgate Building  
2920 Brandywine Road, Mail Stop K 14  
Atlanta, GA 30341  
Email: [cjarvis@cdc.gov](mailto:cjarvis@cdc.gov) Phone: 770-488-2859 Fax: 770-488-2044

**Grants Management Officer:** Shelia Edwards  
Center for Disease Control and Prevention  
Procurement and Grants Office  
Koger Center, Stanford Building  
2920 Brandywine Road, Mail Stop E-15  
Atlanta, GA 30341  
Email: [fyq5@cdc.gov](mailto:fyq5@cdc.gov) Phone: 770-488-1644

**SPREADSHEET SUMMARY**

GRANT NUMBER: 5H23IP000725-02 REVISED

INSTITUTION: KY ST CABINET/HEALTH/FAMILY SERVICES

Budget	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$746,254			
Fringe Benefits	\$465,732			
Supplies	\$203,997			
Travel Costs	\$155,456			
Other Costs	\$235,445	\$3,836,351	\$3,836,351	\$3,836,351
Consortium/Contractual Cost	\$1,848,373			
TOTAL FEDERAL DC	\$3,655,257	\$3,836,351	\$3,836,351	\$3,836,351
TOTAL FEDERAL F&A	\$165,309			
TOTAL COST	\$3,820,566	\$3,836,351	\$3,836,351	\$3,836,351

