Notice of Award

COOPERATIVE AGREEMENTS **Issue Date:** 03/30/2015

Department of Health and Human Services
Centers for Disease Control and Prevention
COORDINATING OFFICE FOR TERRORISM PREPAREDNESS AND EMERGENCY RESPONSE

Grant Number: 3U90TP000563-03S2
FAIN: U90TP000563

Principal Investigator(s):
KRAIG E HUMBAUGH, MD

Project Title: TP12-1201 HPP AND PHEP COOPERATIVE AGREEMENTS

PATRICK RUPINEN, BUDGET ANALYST
DEPARTMENT OF PUBLIC HEALTH
KENTUCKY CABINET FOR HEALTH AND FAMILY SERVICES
275 EAST MAIN STREET
FRANKFORT, KY 40621

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

Budget Period: 04/01/2015 – 09/30/2016
Project Period: 04/01/2015 – 09/30/2016

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of $1,956,515 (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 SEC391(A)317(K)OFPHS42U.S.C.SEC241A 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,

Shicann Phillips
Grants Management Officer
Centers for Disease Control and Prevention

Additional information follows

SECTION I – AWARD DATA – 3U90TP000563-03S2

Award Calculation (U.S. Dollars)

Salaries and Wages	$222,372
Fringe Benefits	$155,951
Personnel Costs (Subtotal)	$378,323
Equipment	$70,296
Supplies	$6,000
Travel Costs	$7,811
Other Costs	$340,000
Consortium/Contractual Cost	$1,107,387
Federal Direct Costs	$1,909,817
Federal F&A Costs	$46,698
Approved Budget	$1,956,515
Federal Share	$1,956,515
TOTAL FEDERAL AWARD AMOUNT	$1,956,515
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$1,956,515

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

04 $0

Fiscal Information:

CFDA Number:	93.074
EIN:	1610600439B5
Document Number:	TP00056315

IC	CAN	2015
TP	93902YK	$1,956,515

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR (3)	
GRANT NUMBER	**TOTAL FEDERAL AWARD AMOUNT**
3U90TP000563-03S2	$1,956,515
5U90TP000563-03	$11,171,869
3U90TP000563-03S1	$55,616
TOTAL	**$13,184,000**

SUMMARY TOTALS FOR ALL YEARS		
YR	**THIS AWARD**	**CUMULATIVE TOTALS**
3	$1,956,515	$13,184,000
4	$0	$13,448,820

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**: PHILLIPSS0 03/30/2015

SECTION II – PAYMENT/HOTLINE INFORMATION – 3U90TP000563-03S2

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.

SECTION III – TERMS AND CONDITIONS – 3U90TP000563-03S2

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) U90TP000563. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Treatment of Program Income:
Additional Costs

SECTION IV – TP Special Terms and Conditions – 3U90TP000563-03S2

Funding Opportunity Announcement (FOA) Number: TP12-12010302SUPP15
Award Number: **3U90TP000563-03S2**
Award Type: Cooperative Agreement
Applicable Cost Principles: 2 CFR Part 225 Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A–87)

AWARD INFORMATION

REMARKS

Statutory Authority:
Contingent Emergency Response Funding (PHEP ONLY)
317(a) and 317(d) of the PHS Act

Incorporation: The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number TP12-12010302SUPP15, entitled Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Cooperative Agreements/PHEP Supplemental for Ebola Preparedness and Response Activities, and application dated 2/20/2015, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in the NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

*** Note 2 CFR 200 will supersede the administrative requirements (A-110 & A-102), cost principles (A-21, A-87 & A-122 and audit requirements (A-50, A-89 & A-133).**

*** Note 45 CFR 75 will supersede the administrative requirements in 45 CFR Part 74 or Part 92.**

For additional information or guidance, see CDC Grants website resources at CDC Grants Application Resources.

Approved Ebola Supplemental Funding (PHEP ONLY): Supplemental funding in the amount of **$1,956,515** is approved for Year 3, Ebola Supplement Number 2.

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

RESTRICTED FUNDS: Funds in the amount of $70,296, requested for the purchase of the required LRN-Approved RT-PCR Instruments as stated in the FOA are hereby restricted and cannot be drawn down from the Payment Management System (PMS) until further guidance is given by CDC.

DISAPPROVED COSTS: ALL PROPOSED COSTS AND ACTIVITIES ASSOCIATED WITH HOSPITAL PREPAREDNESS PROGRAM (HPP) ARE NOT SUPPORTED BY PHEP EBOLA SUPPLEMENTAL FUNDS.

PRIOR APPROVAL: Overtime and compensatory time must be submitted to your GMS prior to applying the proposed cost. Requests should clearly state the following: Name of staff; percentage of effort on current award; current salary; number of hours/percent of effort; estimated total cost; assigned duties during overtime hours; justification for work performance outside of normal working hours.

Period of Performance: April 1, 2015 – September 30, 2016

Carryover and No Cost Extensions are NOT applicable for performance of supplemental activities and expenditure of supplemental funds. All activities must be completed by September 30, 2016.

Cost Sharing or Matching: Is NOT required for this supplemental program.

Direct Assistance: Is NOT applicable to this supplemental program.

Maintenance of Effort: Is NOT required for this supplemental program.

NOTE: DETAILS FOR REQUESTING REIMBURSEMENT OF PREVIOUSLY INCURRED COST FOR INITIAL EBOLA ACTIVITIES/EXPENDITURES ARE FORTHCOMING.

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted through eRA Commons no later than 90 days after the end of the calendar quarter in which the budget period ends. The FFR for this budget period is due to the GMS/GMO by December 31, 2016. Reporting timeframe is April 1, 2015 through September 30, 2016.

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

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

FFR (SF-425) instructions for CDC Grantees are available at http://grants.nih.gov/grants/forms.htm. For further information, contact GrantsInfo@nih.gov. Additional resources concerning the eFSR/FFR system, including a User Guide and an on-line demonstration, can be found on the eRA Commons Support Page: http://www.cdc.gov/od/pgo/funding/grants/eramain.shtm.

PAYMENT INFORMATION

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

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

Director, Payment Management Services
P.O. Box 6021
Rockville, MD 20852
Phone Number: (877) 614-5533
Email: PMSSupport@psc.gov
Website: http://www.dpm.psc.gov/help/help.aspx

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

- University and Non-Profit Payment Branch: http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true

- Governmental and Tribal Payment Branch:

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

- International Payment Branch:

Bhavin Patel (301) 443-9188

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

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

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

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

Subaccount Title: TP121201EBOLASUPP215
Subaccount Number: TP00056315

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

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

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

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

CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is 04/01/2015 through 09/30/2016. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

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

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

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

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

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

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

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 2 CFR Parts 200.343 (Closeout), 225 and 230, the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents must be mailed to the business contact identified in Staff Contacts.

Equipment Inventory Report: An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of $5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in

the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 2 CFR Parts 200, 215.37 or 2 CFR Part 215.71. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than $5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

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

CDC ROLES AND RESPONSIBILITIES

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

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

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

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

GMO Contact: See Staff Contacts below for the assigned GMO

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

GMS Contact: See Staff Contacts below for the assigned GMS

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

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

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

Programmatic Contact:
Lucia Marks, Project Officer
Centers for Disease Control
Public Health Emergency Preparedness Program
Telephone: 404-639-5024
Email: BJY8@CDC.GOV

STAFF CONTACTS
Grants Management Specialist: Shicann Phillips
Center for Disease Control and Prevention
ONDIEH
1825 Century Center Blvd MS E-85
Atlanta, GA 30345
Email: IBQ7@CDC.GOV **Phone**: 404.498.3013

Grants Management Officer: Shicann Phillips
Center for Disease Control and Prevention
ONDIEH
1825 Century Center Blvd MS E-85
Atlanta, GA 30345
Email: IBQ7@CDC.GOV **Phone**: 404.498.3013

SPREADSHEET SUMMARY
GRANT NUMBER: 3U90TP000563-03S2

INSTITUTION: KY ST CABINET/HEALTH/FAMILY SERVICES

Budget	Year 3	Year 4
Salaries and Wages	$222,372	
Fringe Benefits	$155,951	
Personnel Costs (Subtotal)	$378,323	
Equipment	$70,296	
Supplies	$6,000	
Travel Costs	$7,811	
Other Costs	$340,000	
Consortium/Contractual Cost	$1,107,387	
TOTAL FEDERAL DC	$1,909,817	
TOTAL FEDERAL F&A	$46,698	
TOTAL COST	$1,956,515	$0

CDC NGA D | Version: 358 - 03/04/2014 22:36:00 | Generated on 03/30/2015 19:58:33