

1. DATE ISSUED MM/DD/YYYY 12/13/2018		1a. SUPERSEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
2. CFDA No. 93.116			
3. ASSISTANCE TYPE Cooperative Agreement			
4. GRANT NO. 5 NU52PS004680-05-00 Formerly 5U52PS004680-02		5. TYPE OF AWARD Other	
4a. FAIN NU52PS004680		6a. ACTION TYPE Non-Competing Continuation	
6. PROJECT PERIOD MM/DD/YYYY From 01/01/2015		Through 12/31/2019	
7. BUDGET PERIOD MM/DD/YYYY From 01/01/2019		Through 12/31/2019	
8. TITLE OF PROJECT (OR PROGRAM) Kentucky Tuberculosis Elimination and Laboratory Program Cooperative Agreement 2015 to 2019			

# DEPARTMENT OF HEALTH AND HUMAN SERVICES

## Centers for Disease Control and Prevention

### CDC Office of Financial Resources

1600 Clifton Road  
Atlanta, GA 30329

## NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)  
SEC 301(A), SEC 317 PHS ACT AS AMENDED (42 U.S.C. 247B-6)

9a. GRANTEE NAME AND ADDRESS Health & Family Services, Kentucky Cabinet for Alternate Name: Kentucky Cabinet for Health & Family Services 275 E Main St # 519wa Frankfort, KY 40621-1000		9b. GRANTEE PROJECT DIRECTOR Dr Robert Lee Brawley 275 E. MAIN STREET HS2E-B KENTUCKY DEPT FOR PUBLIC HEALTH FRANKFORT, KY 40621	
10a. GRANTEE AUTHORIZING OFFICIAL Dr Robert Lee Brawley 275 E. MAIN STREET HS2E-B KENTUCKY DEPT FOR PUBLIC HEALTH FRANKFORT, KY 40621		10b. FEDERAL PROJECT OFFICER Mr Paul Regan 1600 Clifton Rd E-10 DTBE/FSB Atlanta, GA 30333	

### ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)		12. AWARD COMPUTATION	
I Financial Assistance from the Federal Awarding Agency Only		a. Amount of Federal Financial Assistance (from item 11m) 628,065.00	
II Total project costs including grant funds and all other financial participation		b. Less Unobligated Balance From Prior Budget Periods 0.00	
		c. Less Cumulative Prior Award(s) This Budget Period 0.00	
		d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 628,065.00	
		13. Total Federal Funds Awarded to Date for Project Period 3,006,176.00	
a. Salaries and Wages 129,679.00		14. RECOMMENDED FUTURE SUPPORT	
b. Fringe Benefits 160,974.00		(Subject to the availability of funds and satisfactory progress of the project).	
c. Total Personnel Costs 290,653.00		YEAR TOTAL DIRECT COSTS YEAR TOTAL DIRECT COSTS	
d. Equipment 0.00		a. 6 b. 7 c. 8 d. 9 e. 10 f. 11	
e. Supplies 81,916.00			
f. Travel 67,565.00			
g. Construction 0.00			
h. Other 45,531.00			
i. Contractual 97,012.00			
j. TOTAL DIRECT COSTS 582,677.00		15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:	
k. INDIRECT COSTS 45,388.00		a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	
l. TOTAL APPROVED BUDGET 628,065.00		b	
m. Federal Share 628,065.00		16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:	
n. Non-Federal Share 0.00		a. The grant program legislation b. The grant program regulations. c. This award notice including terms and conditions, if any, noted below under REMARKS d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.	

REMARKS (Other Terms and Conditions Attached - ☒ Yes ☐ No)  
Approved Financial Assistance in the amount of \$628,065.00.

### GRANTS MANAGEMENT OFFICIAL:

Arthur Lusby, Grants Management Officer, Team Lead  
2960 Brandywine Rd  
Mailstop E15  
Atlanta, GA 30341-5509  
Phone: 770 488 2865

17. OBJ CLASS	41 51	18a. VENDOR CODE	1610600439B5	18b. EIN	610600439	19. DUNS	927049767	20. CONG. DIST.	06
FY-ACCOUNT NO.	DOCUMENT NO.	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION				
21 a. 8-9211183	b. 004680PS15	c. 93 116	d. PS	e. \$0.00	f. 75-18-0950				
22 a. 8-9213485	b. 004680PS15	c. 93 116	d. PS	e. \$0.00	f. 75-18-0950				
23 a. 8-9214095	b. 004680PS15	c. 93 116	d. PS	e. \$0.00	f. 75-18-0950				

## NOTICE OF AWARD (Continuation Sheet)

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DATE ISSUED  
12/13/2018

GRANT NO. 5 NU52PS004680-05-00

FY-ACCOUNT NO.	DOCUMENT NO	CFDA	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24 a 9-9211183	b 004680PS15	c. 93.116	d. PS	e \$100,634.00	f. 75-19-0950
25 a 9-9213485	b 004680PS15	c. 93.116	d. PS	e \$455,133.00	f. 75-19-0950
26 a 9-9214095	b 004680PS15	c. 93.116	d. PS	e \$72,298.00	f. 75-19-0950

## Direct Assistance

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

NOTICE OF AWARD (Continuation Sheet)

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DATE ISSUED  
12/13/2018

GRANT NO. 5 NU52PS004680-05-00

Federal Financial Report Cycle

Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
01/01/2015	12/31/2015	Annual	03/30/2016
01/01/2016	12/31/2016	Annual	03/31/2017
01/01/2017	12/31/2017	Annual	03/31/2018
01/01/2018	12/31/2018	Annual	03/31/2019
01/01/2019	12/31/2019	Annual	03/30/2020

## AWARD ATTACHMENTS

Kentucky Cabinet for Health & Family Services

5 NU52PS004680-05-00

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1. PS4680-05 T&C

**Notice of Funding Opportunity (NOFO): PS15-1501**

**Award Number: NU52PS004680-05**

**Award Type: Cooperative Agreement**

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

#### **AWARD INFORMATION**

**Incorporation:** In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Non-research awards at

<https://www.cdc.gov/grants/federalregulationspolicies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number PS15-1501, entitled Tuberculosis Elimination and Laboratory Cooperative Agreements, and application dated August 31, 2018, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

**Approved Funding:** Funding in the amount of **\$ 628,065.00** is approved for the Year 05 budget period, which is January 1, 2019 through December 31, 2019.

This award has been fully funded.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third party in-kind contribution when applicable.

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

**Component/Project Funding:** The NOFO provides for the funding of multiple components under this award. The approved component funding levels for this notice of award are:

**P&C: \$ 502,802.00**

**HR: \$ 24,629.00**

**LAB: \$ 100,634.00**

**Financial Assistance Mechanism:** Cooperative Agreement

**Substantial Involvement by CDC:** This is a cooperative agreement and CDC will have substantial programmatic involvement after the award is made. Substantial involvement is in addition to all post-award monitoring, technical assistance, and performance reviews undertaken in the normal course of stewardship of federal funds.

CDC program staff will assist, coordinate, or participate in carrying out effort under the award, and recipients agree to the responsibilities therein, as detailed in the NOFO.

**Prevention and Control (P&C)** CDC activities for this component are as follows:

- Providing guidance and coordination to improve the quality and effectiveness of work plans, PE strategies, and collaborative activities with other services and organizations (e.g., RTMCCs, private providers, community health centers [CHCs], federally qualified health centers [FQHCs]).
- Providing consultation to programs through the DTBE Health Equity Workgroup on initiating and maintaining activities to address health equity issues.

- Providing programmatic consultation and technical assistance in the development and implementation of new diagnostics and treatment services pertaining to TB control and prevention and to expand the reach of the population served.
- Supporting and facilitating activities relevant to PCSI and Health Equity as well as services outside the TB control program, such as, FQHC, CHC, RTMCC, and HIV.
- Providing technical assistance and consultation for empirical data collection in diverse settings to better define economic and epidemiologic context of TB control.
- Providing technical assistance to identify and notify areas about large outbreaks.
- Following up with programs to collect standardized public health information for clustered and non-genotyped cases and assess need for supplemental assistance.
- Collaborating with TB Program Evaluation Network (TB PEN) Steering Committee to incorporating any emerging, promising, and/or best practices to increase transparency, accountability, and adaption of these practices.
- Providing CDC or other subject matter expertise, technical assistance to assist awardee in areas requested such as surveillance, information technology, informatics, PE, program science approaches to strategy implementation, community engagement, and collaboration to advance program activities to achieve outcomes.
- Supporting and collaborating to compile and publish accomplishments, performance measures, and lessons learned during the project period.

**Human Resource Development** CDC activities for this program are as follows:

- Providing technical assistance as needed in assessing and prioritizing training and education needs and in planning, implementing, and evaluating training and education activities.
- Providing technical assistance as needed in developing a program specific Training and Human Resource Development Plan; assistance can be provided in-person at the focal point meeting at the bi-annual TB ETN conference or via consultation with DTBE after award of funds.
- Conducting a focal point meeting at the bi-annual TB ETN/TB PEN conference.
- Directing RTMCCs to coordinate planned regional on-site training courses in conjunction with designated focal points, and provide technical assistance as needed for development of program specific training activities.

**Public Health Laboratory Strengthening** CDC activities for this program are as follows:

- Contributing to the improvement of public health laboratory performance by providing technical assistance through site visits and telephone consultations.
- Identifying training needs and collaborate with partners in the development of courses, webinars, workshops, and training materials for distribution to public health laboratories.
- Providing consultation for the development and implementation of laboratory performance indicators and data analysis methods for laboratory internal quality assurance programs.
- Assisting in the development and dissemination of best practice guidelines and recommendations for the implementation of cost-effective testing algorithms.
- Supporting laboratory performance evaluation by providing a biennial aggregate report of TATs and performance measures from laboratories receiving funding assistance and feedback on individual laboratory performance.

### **Technical Review Response Requirement**

The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in the Annual Performance Report must be uploaded in GrantSolutions in "Grants Notes" to the Project Officer assigned on the face of the award, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **February 1, 2019**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By February 1, 2019 the recipient must upload a revised budget narrative justification with budget form 424a in GrantSolutions. Please remove the all registration fees from out of state travel to "other" category and provide the six contract elements for contractual costs. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the CDC Staff Contacts section of this notice before the due date.

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

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

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

## **FUNDING RESTRICTIONS AND LIMITATIONS**

### **Indirect Costs:**

Administrative Restriction has been placed on this award, due to missing Indirect Cost Rate Agreement. The Indirect Cost Rate Agreement submitted with the application dated, August 31, 2018 does not cover the current budget period. Please submit an updated Indirect Cost Rate Agreement no later than February 1, 2019. Funds in the amount of \$45,388 has placed under Administrative Restriction.

## **REPORTING REQUIREMENTS**

**Required Disclosures for Federal Awardee Performance and Integrity Information System (FAPIIS):** Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the CDC, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the CDC and to the HHS OIG at the following addresses:

CDC, Office of Grants Services  
Louvern Asante, Grants Management Specialist  
Centers for Disease Control and Prevention  
Infectious Diseases Branch (IDSB)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Email: [LHA5@cdc.gov](mailto:LHA5@cdc.gov) (Include "Mandatory Grant Disclosures" in subject line)

AND

U.S. Department of Health and Human Services  
Office of the Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW  
Cohen Building, Room 5527  
Washington, DC 20201

Fax: (202)-205-0604 (Include "Mandatory Grant Disclosures" in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Recipients must include this mandatory disclosure requirement in all subawards and contracts under this award.

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371. Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

CDC is required to report any termination of a federal award prior to the end of the period of performance due to material failure to comply with the terms and conditions of this award in the OMB-designated integrity and performance system accessible through SAM (currently FAPIIS). (45 CFR 75.372(b)) CDC must also notify the recipient if the federal award is terminated for failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. (45 CFR 75.373(b))

#### **PROGRAM OR FUNDING GENERAL REQUIREMENTS**

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

#### **PAYMENT INFORMATION**

*The HHS Office of the 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](mailto:hhstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, and 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.*

**Payment Management System Subaccount:** Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the "P Account". Funds must be used in support of approved activities in the NOFO and the approved application. All award funds must be tracked and reported separately.

The grant document number identified on the bottom of Page 1 of the Notice of Award must be known in order to draw down funds.

#### **CLOSEOUT REQUIREMENTS**

Recipients must submit closeout reports in a timely manner, unless the Grants Management



Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension. The recipient must submit all closeout reports on or before **March 31, 2020**. Reporting timeframe is **January 01, 2015** through **December 31, 2019**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

The reports must be submitted via [www.grantsolutions.gov](http://www.grantsolutions.gov) as a Grant Closeout Amendment for review by the GMS by the due date noted. Ensure the Award and Program Announcement numbers shown above are on each page of the reports.

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

**Final Performance Report:** Recipients must submit a final performance report. (Maximum of 40 pages). At a minimum, this report must include:

- Performance Measures (including outcomes)—Awardees must report final performance data for all performance measures for the project period.
- Evaluation Results—Awardees must report final evaluation results for the project period.
- Impact/ Results—Awardees must describe the effects or results of the work completed over the project period, including success stories.
- Additional forms as described in the Notice of Award, including Equipment Inventory Report and Final Invention Statement.
- List of publications resulting from the project, with plans, if any, for further publication.

Performance information collection initiated under this grant/cooperative agreement has been approved by the Office of Management and Budget under **OMB Number 0920-1132 "Performance Progress and Monitoring Report Expiration Date 8/31/2019"**.

**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. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Department of Health and Human Services' Payment Management Services (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

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

**Equipment Inventory Report:** An original 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 Equipment Inventory Report is due no later than 90 days after the Project Period ends, **March 31, 2020**. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was

acquired under this award, a negative report is required.

**Final Invention Statement:** An original of the Final Invention Statement is required. This is due no later than 90 days after the Project Period ends, **March 31, 2020**. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

### **CDC Staff Contacts**

**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.

**GMS Contact:**

Louvern Asante, Grants Management Specialist  
Centers for Disease Control and Prevention  
Infectious Diseases Services Branch (IDSB)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Telephone: 770-488-2835  
Email: [LHA5@CDC.GOV](mailto:LHA5@CDC.GOV)

**Program/Project Officer:** The PO is the federal official responsible for monitoring the programmatic, scientific, and/or technical aspects of grants and cooperative agreements, as well as contributing to the effort of the award under cooperative agreements.

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

Arthur C. Lusby, M.B.A., Grants Management Officer  
Centers for Disease Control and Prevention  
Infectious Diseases Branch (IDSB)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Telephone: 770-488-2865  
Email: [ALUSBY@CDC.GOV](mailto:ALUSBY@CDC.GOV)