IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, *et al.* *Plaintiffs*, v. ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, *et al.* *Defendants*.	Case No. 1:25-cv-00342-MRD-PAS

NOTICE OF FILING OF HHS ADMINISTRATIVE RECORD

Pursuant to the parties' amended briefing schedule (ECF No. 89), adopted by the Court on January 5, 2026 (Docket entry Jan. 5, 2026), an administrative record (the "HHS Administrative Record") is hereby filed on behalf of the following defendants:

- Robert F. Kennedy, Jr., in his official capacity as Secretary of the United States Department of Health and Human Services;
- U.S. Department of Health and Human Services;
- Andrew Gradison, in his official capacity as Acting Assistant Secretary of the Administration for Children and Families;
- Administration for Children & Families;
- Susan Monarez, in her official capacity as Acting Director of the U.S. Centers for Disease Control and Prevention,
- U.S. Centers for Disease Control and Prevention;
- Thomas J. Engels, in his official capacity as Administrator of the Health Resources & Services Administration; and

- Health Resources & Services Administration.

The Certifications of the HHS Administrative Record are attached as Exhibit 1. The Index of the HHS Administrative Record is attached as Exhibit 2. The HHS Administrative Record itself is attached as Exhibit 3.

Dated: January 12, 2025

Respectfully submitted,

ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services T, et al.
By their Attorneys,

CHARLES C. CALENDA
United States Attorney

/s/ *Andrea Hyatt*
Andrea Hyatt
Lauren S. Zurier
Assistant United States Attorneys
One Financial Plaza, 17th Floor
Providence, RI 02903
(401) 709-5000
(401) 709-5001 (Fax)
Email: Andrea.Hyatt@usdoj.gov
Email: Lauren.Zurier@usdoj.gov

CERTIFICATION OF SERVICE

I hereby certify that on January 12, 2026, I electronically filed the foregoing document through this Court's Electronic Case Filing (ECF) system, which will serve it upon all registered users in accordance with Federal Rule of Civil Procedure 5(b)(2)(E).

/s/ *Andrea Hyatt*
Andrea Hyatt
Assistant United States Attorney

UNITED STATES DISTRICT COURT
DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, et al., *Plaintiffs*, v. ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, et al., *Defendants*.	Case No. 25-cv-000342-MRD-PAS

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UNITED STATES DISTRICT COURT
DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, et al.,

Plaintiffs,

v.

ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, et al.,

Defendants.

Case No. 25-cv-000342-MRD-PAS

CERTIFICATION OF ADMINISTRATIVE RECORD

I, Dale Bell, Deputy Assistant Secretary for Grants within the Office of Grants, Office of the Assistant Secretary for Financial Resources, U.S. Department of Health and Human Services, certify to the best of my knowledge that the materials listed in the attached index constitute the non-privileged documents that were considered, either directly or indirectly, in connection with the government actions challenged in the above-captioned matter.

Executed this __th day of _____ 2026, in Washington, D.C.

WILLIAM D. BELL IV -S
Digitally signed by WILLIAM D. BELL IV -S
Date: 2026.01.09 16:15:13 -05'00'

Dale Bell

Exhibit 1

UNITED STATES DISTRICT COURT
DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, et al.,

Plaintiffs,

v.

ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, et al.,

Defendants.

Case No. 25-cv-000342-MRD-PAS

CERTIFICATION OF ADMINISTRATIVE RECORD

I, Katherine Chon, Acting Director of the Office of Family Violence Prevention and Services within the Administration for Children & Families, a component of the U.S. Department of Health and Human Services, certify to the best of my knowledge that the materials listed in the attached index constitute the non-privileged documents that were considered, either directly or indirectly, in connection with the government actions challenged in the above-captioned matter. Included in the administrative record is a Notice of Award for a Family Violence Prevention and Services/State Domestic Violence Coalition grant for a particular grantee. All Notices of Award for Family Violence Prevention and Services/State Domestic Violence Coalition grants contain substantially similar terms and conditions.

Executed this 9th day of January 2026, in Washington, D.C.

Katherine Chon

UNITED STATES DISTRICT COURT
DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, et al.,

Plaintiffs,

v.

ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, et al.,

Defendants.

Case No. 25-cv-000342-MRD-PAS

CERTIFICATION OF ADMINISTRATIVE RECORD

I, Jamie Legier, Director of the Office of Grants Services at the Centers for Disease Control and Prevention, within the United States Department of Health and Human Services, certify to the best of my knowledge that the materials listed in the attached index constitute the non-privileged documents that were considered, either directly or indirectly, in connection with the government actions challenged in the above-captioned matter.

Executed this 9th day of January, 2026, in Atlanta, GA

Jamie Legier -S Digitally signed by Jamie Legier -S Date: 2026.01.09 14:16:21 -05'00'

Jamie Legier

UNITED STATES DISTRICT COURT
DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, et al.,

Plaintiffs,

v.

ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, et al.,

Defendants.

Case No. 25-cv-000342-MRD-PAS

CERTIFICATION OF ADMINISTRATIVE RECORD

I, Cynthia Baugh, Associate Administrator in the Office of Federal Assistance and Acquisition Management, Health Resources & Services Administration, U.S. Department of Health and Human Services, certify to the best of my knowledge that the materials listed in the attached index constitute the non-privileged documents that were considered, either directly or indirectly, in connection with the government actions challenged in the above-captioned matter.

Executed this 8th day of January 2026, in Washington, D.C.

CYNTHIA R. BAUGH -S

Digitally signed by CYNTHIA R. BAUGH -S
Date: 2026.01.08 18:20:58 -05'00'

Cynthia Baugh

UNITED STATES DISTRICT COURT
DISTRICT OF RHODE ISLAND

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE, et al.,

Plaintiffs,

v.

ROBERT F. KENNEDY, JR., in his official capacity as Secretary of the United States Department of Health and Human Services, et al.,

Defendants.

Case No. 25-cv-000342-MRD-PAS

CERTIFICATION OF ADMINISTRATIVE RECORD

I, Thomas Graves, Director of Grants Management, Substance Abuse and Mental Health Services Administration, U.S. Department of Health and Human Services, certify to the best of my knowledge that the materials listed in the attached index constitute the non-privileged documents that were considered, either directly or indirectly, in connection with the government actions challenged in the above-captioned matter.

Executed this 9th day of January 2026, in Washington, D.C.

THOMAS C. GRAVES -S
Digitally signed by THOMAS C. GRAVES -S
Date: 2026.01.12 09:46:07 -05'00'

Thomas Graves
Director Grants Managment
Substance Abuse and Mental Health Services Administration

Outlook

EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

From Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Date Fri 2025-03-28 15:56
To OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>

1 attachment (311 KB)
Title IX Defending Women AT 2025-01 signed.pdf;

Chief Grants Management Officers,
The attached Action Transmittal requires you to add a new term and condition language in Notice of Awards (NoAs) for new awards for entities participating in, facilitating, or funding programs implicating Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq. Programs that could implicate Title IX include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.
Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.
-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

Exhibit 3

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-01

Issuance Date: March 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.03.28 15:39:45 -04'00'

SUBJECT: Department of Health and Human Services Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Executive Order 14168 Legal Requirements for Title IX Implicated Recipients of Federal Financial Assistance

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

It is the policy of the United States to recognize two sexes, male and female. This policy is reflected in Executive Order 14168 entitled Defending Women From Gender Ideology Extremism and Restoring Biological Truth in the Federal Government (January 20, 2025). It is also reflected in sex-protective laws found at Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq.

HHS is requiring awarding agencies to ensure financial assistance recipients are compliant with the requirements of these laws and Executive Order 14168.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

For all new awards, HHS awarding agencies must insert the below HHS-approved language in Notices of Award (NoAs) to entities that participate in, facilitate, or fund programs that implicate Title IX. Programs that could implicate Title IX would include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Required Notice of Award Term and Condition Language

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

Outlook

EFFECTIVE IMMEDIATELY: Action Transmittal 2025-02, GPS Update effective April 16, 2025

From Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>

Date Wed 2025-04-16 17:30

To Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>; Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>; Braxton, Makoto (ASPR/ADMIN) <Makoto.Braxton@hhs.gov>; Brookins, Marsha (IHS/HQ) <Marsha.Brookins@ihs.gov>; Bryant, Benjamin (ARPA-H) <benjamin.bryant@arpa-h.gov>; Bulls, Michelle G. (NIH/OD) [E] <michelle.bulls@nih.gov>; Chandler, Tanielle (ACL) <Tanielle.Chandler@acl.hhs.gov>; Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>; Cooper, Renee (HHS/ASFR) <Renee.Cooper@hhs.gov>; Crowley, Alexis L (OIG/OMP) <Alexis.Crowley@oig.hhs.gov>; Genovese, Alissa (HHS/ASFR) <Alissa.Genovese@hhs.gov>; Ghosh, Sudevi (CDC/OGC) <ggq4@cdc.gov>; Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>; Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>; Hakimian, Rina (HHS/OGC) <rina.hakimian@hhs.gov>; Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>; Lorenzo, Felix (HHS/ASFR) <Felix.Lorenzo@hhs.gov>; Moore, Scott (HHS/OASH) <Scott.Moore@hhs.gov>; Nestor, Johanna (HHS/ASFR) <Johanna.Nestor@hhs.gov>; Pendleton, Kimberly (FDA/OC) <Kimberly.Pendleton@fda.hhs.gov>

1 attachment (301 KB)

Action Transmittal_GPS Update 2025-02.pdf;

Chief Grants Management Officers,

Please see the attached Action Transmittal 2025-02, signed at Dale's direction and on his behalf, that requires agencies to add a new term and condition language in Notice of Awards **effective immediately for new awards** regarding compliance with non-discrimination laws as it relates to:

- DEI/DEIA/Discriminatory equity ideology;
- discriminatory prohibited boycotts related to Israeli companies or companies doing business in or with Israel; and
- Recipient certification via acceptance of the grant award that the recipient does not engage in such discriminatory behavior.

See full language of the new term of award in the attached Action Transmittal. The GPS has already been updated to reflect this new term, effective today, April 16, 2025 (see pp 18-19). Link: https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-april-2025.pdf

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

Regards,
Chad

Chad T. Clifford
Executive Director, DPOET – Office of Grants
Office of the Secretary - ASFR
U.S. Dept. of Health & Human Services
Phone: 202-360-7318

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> > *(a) DEI means "diversity, equity, and inclusion."*
> >
> > *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
> >
> > *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
> >
> > *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
> >
> > *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
> >
> > *(2) Grant award certification.*
> >
> > > *(a) By accepting the grant award, recipients are certifying that:*
> > >
> > > > *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
> > > >
> > > > *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
> >
> > *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

HHS Grants Policy Statement

Effective date: April 16, 2025

This HHS Grants Policy Statement (GPS) replaces all prior versions

Contact grantpolicyreq@hhs.gov with GPS feedback

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Introduction and General Information

The Grants Policy Statement (GPS) is incorporated by reference in the official Notice of Award (NoA) as a standard term and condition.

The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards. The GPS also provides information about the legal and regulatory rules that apply to your award and will be used for enforcement purposes. The GPS will be updated to reflect changes in law and policy.

The latest version of the GPS is at www.hhs.gov/grants/grants/grants-policies-regulations/index.html and it includes:

- Introduction and General Information
- Pre-Award
- Post-Award
- Single Audit
- Appendices

    A. Awarding Agency Overview
    B. Abbreviations and Glossary
    C. Post-Award Considerations by Type of Program, Activity, or Recipient
    D. HHS Administrative and National Policy Requirements
    E. Financial Assistance General Certifications and Representations

Supersession

This GPS replaces the HHS Grants Policy Statement dated January 1, 2007.

This GPS reflects the current 45 CFR part 75 regulation and eight flexibilities from 2 CFR part 200 (effective October 1, 2024). It will be updated in 2025 to reflect the HHS adoption of 2 CFR part 200 in its entirety and the retention of certain HHS specific provisions in 2 CFR part 300. From this date on, HHS plans to update the GPS annually to make sure it reflects changes in statutes, regulations, and policies.

Applicability

The 2024 HHS GPS applies to awards and award modifications that add funding made on or after April 16, 2025. This includes supplements to award, competing and non-competing continuations. The GPS applies to all HHS recipients and the requirements flow down to subrecipients.

The HHS GPS does not apply to awards made by the National Institutes for Health (NIH). For NIH awards, please see the National Institutes of Health Grants Policy Statement (NIHGPS), which is the policy document describing the requirements that serve as the terms and conditions of NIH awards.

The HHS GPS does not apply to non-discretionary awards or to awards made to individuals. HHS agencies have the discretion to apply certain parts of the GPS to non-discretionary awards and other policies to your non-discretionary or individual award.

Agencies that administer HHS awards include:

- Administration for Children and Families (ACF)
- Administration for Community Living (ACL)
- Agency for Healthcare Research and Quality (AHRQ)
- Assistant Secretary for Planning and Evaluation (ASPE)
- Assistant Secretary for Preparedness and Response (ASPR)
- Assistant Secretary for Technology Policy and Office of the National Coordinator for Health Information Technology (ASTP)
- Centers for Disease Control and Prevention (CDC)
- Centers for Medicare & Medicaid Services (CMS)
- Food and Drug Administration (FDA)
- Health Resources and Services Administration (HRSA)
- Indian Health Service (IHS)
- National Institutes of Health (NIH)
- Office of the Assistant Secretary for Health (OASH)
- Office of the Inspector General (OIG)
- Substance Abuse and Mental Health Services Administration (SAMHSA)

See Appendix A for more information.

Requirements

The following impose requirements on your award and are addressed in the GPS:

- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75)
- Eight provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR § 200):

    1. 2 CFR § 200.1 Modified Total Direct Cost Definition, Equipment Definition, Supplies Definition
    2. 2 CFR § 200.313(e) Equipment Disposition
    3. 2 CFR § 200.314(a) Supply Disposition
    4. 2 CFR § 200.320 Micro-purchase Threshold
    5. 2 CFR § 200.333 Fixed Amount Subawards Amount
    6. 2 CFR § 200.344 Closeout Provisions
    7. 2 CFR § 200.414(f) Indirect Cost Rate Provisions
    8. 2 CFR § 200.501 Audit Provisions

- The Notice of Award (NoA)
- The Notice of Funding Opportunity (NOFO), if stated in the NOA

Other regulations or statutes with more requirements might apply to your award. These include:

- Grants for Research Projects 42 CFR part 52
- Procedures of the Departmental Grant Appeals Board 45 CFR part 16
- Claims Collection 45 CFR part 30
- Equal Treatment for Faith-Based Organizations 45 CFR part 87
- Restrictions on Lobbying 45 CFR part 93
- Metric Conversion Policy for Federal Agencies 15 CFR part 273
- Public Health Service Policies on Research Misconduct 42 CFR part 93
- Protection of Human Subjects, 45 CFR part 46

See Appendix D for more information.

Terms and Conditions

HHS states the requirements of an award in the award terms and conditions:

- The GPS is incorporated by reference as a standard term and condition of awards.
- The NoA includes all terms and conditions of a specific award.
- Notice of Funding Opportunities (NOFOs) describe program requirements, which may be included as terms and conditions.

Types of HHS Awards

Awards fall into two main types:

- Discretionary: HHS chooses who gets the award and how much. Selection of these awards are generally competitive. The amount of an award can be competitive or by a set formula. Types of discretionary awards include research, training, services, construction, and conference support.
- Non-discretionary: A statute determines the recipients and amounts, either directly or by a formula (i.e., each State gets an award of a certain amount). This includes block grants and entitlement programs.

Award Instruments

Award instruments are legal agreements between an awarding agency and a recipient. The two kinds generally addressed in the GPS are:

- Grants: The awarding agency is not substantially involved in the project (31 USC 6302, 6304).
- Cooperative agreements: The awarding agency is substantially involved in the project (31 USC 6302, 6305).

Roles and Responsibilities

This section highlights roles and responsibilities. The GPS supplies more details throughout.

Recipient Roles and Responsibilities

Recipients manage performance and funds. Required roles are:

- Authorized Organizational Representative (AOR): The AOR has authority to act for the organization and is responsible for meeting award requirements, properly managing the award, and providing oversight. The AOR's signature on a grant application guarantees that the information in the application is correct and the organization is responsible for following all requirements.
- Principal Investigator or Project Director (PI/PD): The PI/PD is the individual(s) designated by the recipient to direct the project or program being supported by the award. The PI/PD is responsible and accountable to officials of the recipient organization for the proper conduct of the project, program, or activity.

Awarding Agency Roles and Responsibilities

HHS is responsible to Congress and U.S taxpayers for carrying out its mission in a cost-effective and compliant way. The HHS agencies that administer awards have grants offices and staff designated to conduct this work. The roles and responsibilities of HHS staff (at each awarding agency) include:

- Grants Management Officer (GMO): The GMO is the official who handles the non-program parts of an award for the HHS agency. The GMO is the focal point for receiving and acting on requests for prior approval or for changes in the terms and conditions of award. The GMO is the only official authorized to obligate the HHS awarding agency to the expenditure of federal funds or to change the funding, duration, or other terms and conditions of an award.
- Grants Management Specialist (GMS): Acts as the main grants administration contact for recipients. Handles administrative activities on behalf of the GMO. The GMS contact information can be found on the NoA.
- Project Officer or Program Official (PO): Responsible for the programmatic, scientific, and technical sides of award programs, including oversight and monitoring. The PO contact information can be found on the NoA.
- Review Administrator (RA): Provides oversight of the application review process, although not all agencies have this role.

Pre-Award

This section helps you find funding opportunities, prepare, and apply.

Locating Funding Opportunities

Agencies announce competitive funding opportunities. All discretionary Notice of Funding Opportunities are listed on Grants.gov**.** There are three other ways to find more information about HHS financial assistance.

Grants.gov, Forecasts, and the Notice of Funding Opportunity (NOFO)

HHS policy requires maximum competition for discretionary grants to the greatest extent possible. As such, HHS agencies promote the widest and earliest possible spread of information through forecasts of upcoming grant opportunities and NOFOs. Awarding agencies post discretionary or competitive NOFOs at Grants.gov.

Grants.gov forecasting is the direct way to find NOFOs. NOFOs are usually open for at least 60 days. Only rarely are they open for fewer than 30 days.

Because HHS aims for the widest and earliest possible spread of information, HHS agencies post future opportunities on Grants.gov through forecasts. Forecasts may be posted weeks or months before NOFOs. Forecasted NOFOs can be found in the Grants.gov search page by clicking the "forecasted" button. Forecasts include helpful information such as:

- expected number of awards
- estimated award amounts
- description of the program
- estimated NOFO posting date
- estimated application due date
- estimated project start date and period of performance

How to Subscribe to HHS Grants Forecast

When you create a Grants.gov account, you can customize the type of email notifications you receive. Log in and then go to the subscription page to sign up for news updates about system enhancements, notifications about saved searches, new funding opportunities, and more.

Awarding Agency Websites

Most awarding agencies have award web pages. See Appendix A.

SAM.gov and Assistance Listings

Assistance listings are public descriptions of federal assistance programs. All assistance listings are included on the System for Award Management (SAM.gov), a site run by the U.S. General Services Administration. Search assistance listings at SAM.gov.

Preparing to Apply

The first step is to read the entire NOFO and the links in it. Each part of the NOFO sets out basic information for that award.

To apply, you must:

- be an eligible entity
- address the NOFO requirements
- submit a complete and compliant application by the deadline(s)

General Eligibility Considerations

In general, HHS awards may be made to domestic public or private, non-profit or for-profit organizations. Foreign or international organizations are eligible for research awards, or if expressly authorized by law.

The NOFO includes specific eligibility criteria and any requirements to prove eligibility. Applicant eligibility criteria for all HHS NOFOs are almost always based on statute or program regulation.

HHS policy requires open competition to the greatest extent possible. Restricting eligibility, as compared to statute or program regulations, is only done with appropriate justification in rare cases.

Agencies review applications for eligibility when they receive them. The AOR signature generally serves as assurance of eligibility, unless additional proof of eligibility is required in the NOFO. If the applicant is not eligible, the application will not be reviewed.

Additional Eligibility Restrictions

Concurrent Applications

You cannot apply for funding for the same project or activities from multiple HHS Public Health Service (PHS) agencies at the same time. If you do, your applications will be returned. See Appendix A for a list of PHS agencies.

Suspension, Debarment, and Exclusion

Agencies are required to check SAM.gov for individuals and organizations that are debarred, suspended, declared ineligible, or voluntarily excluded from receiving HHS award funds. HHS will not give awards to or pay these individuals and entities, including recipients and subrecipients. If such an individual is involved in an award, costs like their salary are not allowed.

Applicants must disclose if any of the following conditions apply to their organization, planned staff or principals (as defined in 2 CFR § 180.995), including Principal Investigators (PIs), and other key personnel:

- Are currently excluded or disqualified;
- Were convicted within the previous three years of any offenses listed in 2 CFR § 180.800(a) or had a civil judgment for one of those offenses during that time;
- Are currently indicted for or otherwise facing criminal or civil charges by a governmental entity (federal, state, or local) for any of the offenses listed in 2 CFR § 180.800(a); or,
- Have had any public transactions (federal, state, or local) terminated within the previous three years for cause or default.

Recipients of HHS awards must also make subrecipient organizations and subrecipient participants follow federal Debarment and Suspension regulations (2 CFR part 376 and 2 CFR part 180). These participants can include:

- Consortiums
- Subcontracts
- Consultants
- Collaborators
- Contractors that require the provision of goods or services that will equal or exceed $25,000

These subrecipients must also make sure that anyone they hire with award funds follow the same rules. Before entering into an agreement, these participants should tell the award recipient if he, she, or any principals are excluded or disqualified at that time.

Ultimately, it is the job of the applicant or recipient to make sure none of the subrecipient and principals involved are excluded or disqualified. Award recipients cannot make a transaction with someone who is disqualified unless they get an exception under the disqualifying statute, Executive Order, or regulation from HHS.

For more information, see Suspension and Debarment at 45 CFR § 75.213, 2 CFR part 180 and 2 CFR part 376.

Delinquency on Federal Debt

If an entity or individual owes money to the U.S. with a lien, they cannot get an award. Applicants must state in their applications whether they are delinquent on any federal debts. Agencies may delay awards until federal debts are settled.

Do not include a person in the application if they have unpaid federal debts with a lien. Agencies will disallow costs for these individuals.

See 28 U.S.C. 3201(e).

Lobbying Prohibition

Applicants must certify they will not use federal funds to pay any person to influence agency staff, Congress members, and officers or employees of Congress about federal awards.

Applicants with total proposed costs of more than $100,000 must certify that they:

- have not made unallowable lobbying payments,
- will be responsible for reporting on non-federal funds used for lobbying,
- will include these requirements in consortium agreements, subawards, and contracts of more than $100,000 under their award.

See 2 CFR part 93, 2 CFR § 200.450, and the SF-424 for more about lobbying requirements.

HHS Application Process

Types of Applications

HHS uses these application types:

- New application: A request for funds for new activities. It can be competitive or not.
- Non-competing continuation application: A request for funds for the next budget period(s) within a period of performance. Agencies provide an NoA with new budget details.
- Competing continuation or renewal application: A request to continue a project that is ending with a new period of performance. This is competitive.
- Supplemental application: A request for more funds in the current budget period. This can be for changes in the project scope, expansion of already approved activities, or for unexpected costs.
- Revised application: A previously not funded application updated and submitted again for review.

Pre-applications and Letters of Intent

Before a full application, an agency might ask for:

- Pre-applications: Used to filter out applicants that will be unlikely to receive funding through an objective review. This saves time before writing a full application.
- Letters of Intent: Agencies might want notice that you plan to apply. This is usually optional and doesn't mean you have to apply. It's mostly to gauge interest and help the HHS agency estimate how many applications to expect.

Application Forms

Forms and instructions are on Grants.gov. You can find a NOFO's required forms in the application package in Grants.gov. The NOFO is your best source when completing forms. The NOFO agency contact, located on the NOFO, can answer any questions you may have.

Application Budgets

You will need to include a budget as part of your application. Some applications require a detailed budget. The NOFO will describe the budget requirements. For HHS budgets, applicants and recipients need to understand:

- The costs allowable under the program
- The relevant cost principles
- The difference between direct and indirect costs
- When you need an indirect cost rate or research patient care cost rate, and
- Any matching or cost sharing requirements

Project costs include allowable direct costs plus allocable indirect costs, minus applicable credits. See below Cost Principles, Direct Costs and Indirect Costs sections of the GPS.

Cost allowability is subject to the governing statute, program regulations, and award terms and conditions. There are situations when HHS will not reimburse indirect costs.

Cost Principles

Developing an application budget depends on understanding what costs are allowable under HHS financial assistance programs.

For more information about how cost principles apply to your organization, see 45 CFR § 75.401.

This section on cost principles interprets the regulations at 45 CFR part 75 and is not all-inclusive.

Cost principles:

- Establish general standards for the allowability of costs.
- Provide guidance on treating costs as direct or indirect.
- Provide principles for selected items of cost.

The cost principles apply to all recipients.

You can use your own accounting system to implement the cost principles if you meet the standards for financial management systems at 45 CFR § 75.302.

The federal-wide cost principles are in 45 CFR part 75, subpart E.

The cost principles for:

- Hospitals are at 45 CFR part 75 Appendix IX
- For-profit organizations are at 48 CFR § 31.2

If specifically identified, use the applicable cost principles for your type of organization. Cases where the cost principles do not apply are listed in 45 CFR § 75.401(a).

Is It Allowed?

As the HHS agency official for the non-program parts of awards, the Grants Management Officer (GMO) makes the final determination on allowability.

For all allowability requirements see 45 CFR § 75.403. Following is a summary.

A cost is allowable if all the following apply:

- It is necessary and reasonable for award performance.
- It complies with any limitations or exclusions in the cost principles or the federal award about types or amounts of cost items.
- It is consistent with policies and procedures across all recipient activities, regardless of source of funding.
- It is consistent across all activities in identifying direct and indirect costs.

- It follows generally accepted accounting principles (GAAP). See 45 CFR § 75.403(e) for exceptions.
- It is not used for cost-sharing requirements of another federally financed program, unless specifically allowed by law.
- You maintain required documentation.

Is It Reasonable?

For all reasonableness requirements see 45 CFR §75.404. Following is a summary.

Considerations for reasonableness include:

- If the cost is generally recognized as ordinary and necessary.
- The requirements of:
    - Sound business practices
    - Arm's-length bargaining
    - Federal, state, local, tribal, and other laws and regulations
    - Terms and conditions of the federal award
- If the cost aligns with market prices for comparable goods or services in the geographic area.
- The cost does not significantly deviate from your established practices and policies regarding such costs, regardless of source of funding.

Allocability

Allocability in grants means costs that can be applied to your award. For all allocability requirements see 45 CFR § 75.405. Following is a summary.

A cost is allocable if any of the following apply:

- It is spent only for the work under a federal award.
- It benefits both the federal award and other recipient work and can be distributed using reasonable methods.
- It is necessary to your overall operations and can be assigned to the federal award.

Direct and Indirect Costs

Costs can be direct or indirect:

- Direct costs: Directly related to the cost of the project or project activities. These costs are based on actual expenses or easily estimated accurately. Examples of direct costs are generally salaries, travel, equipment, and supplies directly for grant activities.
- Indirect costs: Not readily tied directly to the project or project activities. If a cost is indirect, it cannot also be listed as a direct cost for any federal award. Examples may be facilities operation and maintenance costs, depreciation, and administrative

expenses. You must have or negotiate an indirect cost rate to reimburse indirect costs.

See 45 CFR §§ 75.413-414, and 45 CFR § 200.414.

Indirect Cost Rates

As stated above, indirect costs are for common activities that cannot be specifically tied to a particular project. Examples include facilities operation and maintenance costs, depreciation, and administrative expenses. You must treat costs as direct or indirect consistently.

Indirect costs are allowable under most HHS awards and are charged as a rate. There are three ways indirect costs may work:

- Specified rate. The rate may be specified in statute, regulations, or policy. If this is so, the difference between the specified rate and the negotiated rate can satisfy match or cost sharing requirements. There are three HHS-specific specified rates to consider:
- Training grants, including career awards, are limited to 8%.
- Indirect costs to foreign organizations and foreign public entities when the awarded work is performed fully outside of the territorial limits of the U.S. are limited to 8%.
- Negotiated Indirect Cost Rate Agreement (NICRA). You can negotiate a rate with your cognizant federal agency. If the cognizant agency is HHS, a rate is negotiated by Program Support Center Cost Allocation Services (CAS) or the Division of Financial Advisory Services (DFAS) in the NIH Office of Acquisition Management and Policy (responsible for negotiating indirect cost rates for for-profit recipients). Indirect cost proposals must use the applicable cost principles and cognizant agency guidance.
    - See 45 CFR part 75, Appendix III for institutions of higher education.
    - See 45 CFR part 75, Appendix IV for non-profits.
    - See 45 CFR part 75, Appendix V for state and local government cost allocation plans.
    - See 45 CFR part 75, Appendix VI for public assistance.
    - See 45 CFR part 75, Appendix VII for state and local governments and Indian Tribe indirect cost plans.
- De minimis rate. If you do not have a NICRA, you can use the de minimis rate indefinitely. We are applying the newly revised rate, in 2 CFR § 200.414(f), of 15% of modified direct costs. Modified direct costs are salaries and wages, fringe benefits, materials and supplies, services, travel, and no more than $50,000 of each subaward, minus some exclusions. See 2 CFR § 200.2 for the full definition. See 2 CFR § 200.414 for more on the de minimis rate.

The de minimis rate is not applicable for some recipients. These recipients include governmental agencies that receive more than $35 million in direct funding and Indian tribal governments. See 2 CFR Appendix VII to § 200 D.1.b.

Exclusions

Some HHS awards and recipients are not eligible for indirect cost reimbursement. This will be described in the NOFO.

Indirect costs are not paid for:

- Grants to federal institutions, 45 CFR § 75.217(b)(3)
- Grants to individuals, including fellowships, scholarships, traineeships, or fixed amounts like educational allowances or tuition and fees, 45 CFR § 75.2 (Definition of Micro-Purchase Threshold).

Pass-through Entities

Pass-through entities must use their subrecipient's federal NICRA. A 15% de minimis rate may be used if there is no federally negotiated agreement. See 2 CFR § 200.414.

Salary Rate Limit (SRL)

Generally, the HHS Appropriations Act includes an SRL. This statutory requirement limits the amount of funds under a grant or other extramural mechanism that can be used to pay individual salaries (including executive salaries) at a rate above the Executive Level II. Recipients may pay salaries at a rate higher than the Executive Level II if the amount beyond the HHS SRL is paid with non-HHS funds. Since the Executive Level II rate and HHS Appropriations Act citation changes each year, HHS refers to the Office of Personnel Management (OPM) posting the most recent information at https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/24Tables/exec/html/EX.aspx.

The HHS SRL applies to:

- The majority of HHS awards.
- Both direct and indirect costs under applicable HHS awards.

Effective October 1, 2024, when HHS is the cognizant agency for indirect costs or when HHS is acting as the shared-service provider for another cognizant agency for indirect costs, the HHS component that reviews and negotiates indirect cost rate proposals and cost allocation plans will issue NICRAs that incorporate the HHS SRL, to comply with the HHS Appropriations Act requirement.

Beginning with HHS awards, including continuation and supplemental awards, made on or after October 1, 2024, HHS recipients that do not have an approved indirect cost rate that complies with the HHS SRL requirement must take and document the following actions.:

- Identify any HHS award where HHS funds are used to pay any salary that exceeds the SRL using the HHS award. This includes both direct and indirect costs, both in whole and any portion of a salary that at a full-time equivalent exceeds the SRL.
- Have written policies and procedures that ensure the recipient does not draw down HHS award funds, whether as direct or indirect costs, to pay for salaries above the HHS SRL.

This may occur because the NICRA was issued before October 1, 2024, and it is not yet up for renewal, OR because the NICRA was issued by another cognizant agency for indirect costs that does not have an identical SRL.

A recipient may request a companion rate on the NICRA from HHS that does not incorporate the HHS SRL if:

- HHS is their cognizant agency for indirect costs or HHS is the shared-service provider for their cognizant agency for indirect costs; and
- The recipient is applying for an award from another Federal agency or from a program not subject to the HHS SRL.

Cost Sharing

Cost sharing refers to project costs that are not funded by the HHS agency. It is also sometimes called "match."

Cost sharing can be voluntary or can be required by statute or regulation.

NOFOs include information about:

- Whether there is required or voluntary cost sharing
- The agency's approach to looking at cost sharing during the application review
- Any caps on the agency's portion of total award costs
- Any restrictions on the types of funding that are acceptable as cost-sharing (e.g., in-kind contributions)
- Required documents, like commitment letters

See more on cost-sharing requirements at 45 CFR § 75.306.

Program Income and Third-Party Reimbursement

Program income is money a recipient earns that is both:

- Earned during the period of performance
- Earned directly from an activity funded by the award or due to the award

This can include money earned from things like:

- Services performed under the award,
- Renting property bought with award funds,
- Selling items made with award funds,
- Third-party reimbursement, such as payments for health services, and fees based on ability to pay,
- Principal and interest on loans made with award funds, and
- Royalties from patents and copyrights.

It does not include:

- Interest earned on advances of Federal funds or things like rebates, credits, discounts, and interest earned on any of them unless stated otherwise in the NOFO or NoA.

The full definition for program income is found at 45 CFR § 75.2 "Program income"

NOFOs might ask for estimated program income in the budget. NOFOs explain how to use expected program income.

There are no requirements for what to do with income earned after the end of the award period of performance, unless the NOFO or NoA says otherwise.

See more on the treatment of program income at 45 CFR § 75.307.

Unique Entity Identifier (UEI) and Registering in SAM.gov

Every applicant needs a Unique Entity ID (UEI) from SAM.gov.

- For a new UEI, register on SAM.gov. You'll get an email when it's active. This can take time.
- If you already have a UEI, renew on SAM.gov yearly.
- Keep your SAM registration details current.
- Make sure that your SAM registration is accurate for both contracts and grants.

For more information, see Get Ready for Grants Management at HHS.gov.

State and Local Review Requirements

Federal rules allow state and local governments and health agencies to review and comment on applications. You will find the requirements in the NOFO. There are two types of reviews:

- Intergovernmental review. Executive Order 12372 and 45 CFR part 100 allow for intergovernmental review by state and local governments through the State Single Point of Contact (SPOC).
- Public health system reporting. This reporting provides state and local health agencies with information on applications by health care delivery programs. If a state or local health official wants to review a full application, the official contacts the SPOC.

Contact your SPOC to learn more. Find SPOCs at the Office of Management and Budget website. Not all states have this process.

Applying

In almost all cases, you will need to submit applications online. All HHS agencies are required to post their competitive NOFOs on Grants.gov and will also post there how to apply online.

Agencies will not review applications that are from ineligible applicants, incomplete, are not compliant, or are not responsive to program requirements.

Send your application by the NOFO's deadline. If you are late, it will almost always be deemed non-compliant and will not be reviewed.

The AOR's signature on an application certifies that:

- The information in it is truthful, complete, and accurate,
- The applicant will comply with all required certifications and assurances,
- The applicant will comply with terms and conditions when accepting an award, and
- The non-federal entity is aware that any false, fictitious, or fraudulent statements or claims may subject the applicant to criminal, civil, or administrative penalties.

Some agencies might allow paper or email submissions. The NOFO will explain exemption requests. These are rare.

> PLEASE NOTE: Applicants must register with Grants.gov. For how to register with Grants.gov, see Registering an Organization or contact the Grants.gov contact center at 1-800-518-4726 or support@grants.gov. Registering can take up to one month.

Application Receipt and Review

Initial Eligibility Review

The awarding agency screens applications for eligibility. Unless the NOFO requires specific proof of eligibility, the AOR's application certification is enough.

Use of Application Information

Agencies protect your application information during merit review and in accordance with laws like the Freedom of Information Act and Privacy Act of 1974. Once awarded, the government can only use or share data as federal law allows. To help safeguard your information:

- Avoid sharing personally identifiable information.
- Only add confidential information if necessary.

See the Access to Research Data section of the GPS.

Merit Review

Merit review is a review by those with expertise in the programmatic subject matter area for the submitted applications.

Applications for discretionary programs, whether received in response to a NOFO, requested from a single source (very rare), or received as an unsolicited request for grant funding, will go through a merit review.

The merit review provides recommendations to the individuals responsible for making award decisions. Merit review is necessary to make sure HHS choses applications that best meet the needs of

the program. These needs must be based on what the NOFO says about what makes a successful application.

Peer review is a form of merit review. Reviewers are peers with expert knowledge about how the program topic. Sometimes, the program statute may tell us which type of reviewers to pick or how a review should happen.

Award Risk and Business Review

Before award, agencies do pre-award risk and business reviews of applications. These can include:

- Cost analysis of the budget
- Assessment of management systems
- Final review of applicant eligibility
- Compliance with public policy requirements

During this review, the agency might request more details or actions from you.

Following review, officials make decisions about making the award, adding special conditions, and funding level.

Cost Analysis

HHS agencies careful review of the applicant budget includes:

- a review of the cost breakdowns
- a check to make sure the cost data in the application is correct
- an overall review of the costs for need for and the reasonableness and allowability of proposed costs

The review depth depends on project complexity, applicant prior experience, and other factors.

Management System Analysis

Applicants must have systems, policies, and procedures in place to manage award funds and activities. HHS agency staff take a close look at your financial and business management systems. This review includes property management and procurement systems and helps ensure:

- Applicant organizations apply policies and procedures consistently, regardless of funding source, and
- Systems meet the standards and requirements in 45 CFR § 75.302, Financial Management.

Civil Rights Assurance

Domestic recipients, subrecipients, and contractors must file Form HHS 690, Assurance of Compliance once with the HHS Office for Civil Rights (OCR). It is not needed for each application.

The recipient must ensure that subrecipients and contractors have filed the form.

Additionally, recipients must comply with all applicable Federal anti-discrimination laws material to the

government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).

(1) Definitions. As used in this clause –

(a) DEI means "diversity, equity, and inclusion."

(b) DEIA means "diversity, equity, inclusion, and accessibility."

(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.

(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.

(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.

(2) Grant award certification.

(a) By accepting the grant award, recipients are certifying that:

(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and

(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.

(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.

Human Subjects and Animal Welfare Assurance

If IRB review and approval is required but still pending at the time of award, agencies will restrict human subjects research until they get and approve the needed proof. Additional information is available on the Office of Human Research Protections website. This includes a series of decision charts to help assess whether an activity is human subjects research covered by the regulation and when an exemption may apply.

Before getting an award, if applicants plan to use vertebrate animals, they must send an Animal Welfare Assurance to HHS' Office of Laboratory Animal Welfare. This confirms that a committee has reviewed the parts of the application related to animals.

Communicating Decisions

Agencies inform applicants about their decisions in various ways:

- Award: If you are getting an award, you will receive a Notice of Award (NoA).
- Denial: If the agency decides not to fund your application, the AOR gets a letter.
- Approved unfunded: Sometimes, despite a good review, there's not enough funds.

The awarding agency could keep your application for future funding. The awarding agency will notify the AOR that your application is approved but unfunded.

- Revised application eligibility: If not successful, the NOFO might allow you to adjust and reapply later. However, some agencies cap the number of revisions and retries.

You cannot appeal a denial or the amount of funds awarded.

The Notice of Award

The Notice of Award is a legal instrument. See 45 CFR § 75.210 for the contents of an NoA.

Accepting the Award

Once accepted, the contents of NoAs are binding.

Applicants become recipients when the NoA is signed by the awarding agency's Chief Grants Management Officer (CGMO) or his/her delegate. The recipient accepts an award by drawing down funds. HHS expects recipients to draw down funds in the first 30 days of the period of performance.

Declining or Negotiating Awards

During the time between the NoA being signed and the drawing down of funds, if you can no longer accept an award or you need to negotiate any award parts, tell the awarding agency. If no agreement is reached, the agency will cancel the award. You cannot challenge the agency's decisions on the terms and conditions.

Periods of Performance

HHS uses the period of performance system for funding awards. Funding is provided in approved yearly increments called budget periods. The total period of performance includes the initial competitive

segment, any additional segments authorized by approved continuation applications, and any no-cost extensions.

A competitive segment usually will be no longer than five years, not including no-cost extensions. A single federal award for the entire period of support may be used if the project is only construction or modernization or if the total planned project will be less than 18 months.

The awarding agency will determine the length of the period of performance based on:

- Any statutory, regulatory, or administrative requirements,
- The length of time requested by the applicant,
- Any time limits on the period of performance recommended by merit review,
- The frequency of merit review, and
- The funding principles as specified in the NOFO.

The NoA generally approves a period of performance that goes beyond the current budget period, showing the HHS awarding agency's intention to continue providing support. Funding for future budget periods is not guaranteed at the level shown on the current NoA. There is no legal obligation for HHS awarding agencies to provide funding beyond the end date of the current budget period in the NoA.

Recipients must submit a continuation application or annual report to get approval and funding for each new budget period within the approved period of performance. The HHS agency will make its decision to fund the next budget period by issuing a NoA which shows the new budget period and amount of new funding. Funding is based on adequate performance, availability of funding, and the best interests of the federal government.

Budget periods usually last 12 months. However, they may be shorter or longer based on programmatic or administrative needs. The NoA will show the total approved budget for the applicable budget period. This includes direct costs, applicable indirect costs, and any required matching or cost sharing.

Costs in the NoA

The initial NoA and each subsequent NoA provide details of the award and the amount awarded. After the initial budget period, NoAs may reflect any authorized carryover and amounts previously awarded for the full period of performance. The amount awarded is shown either as total direct and indirect costs and as a categorical (line item) budget breakdown. This is based on the requirements in the NOFO.

Recipients have certain rebudgeting flexibility within the overall amount awarded. However, the total amount awarded is the maximum amount the awarding agency is obligated to pay under that award. Once an award is made, the HHS awarding agency is not required to provide any supplemental or additional funding.

Post-Award

As a recipient, you will manage HHS awards and activities including:

- Project performance, 45 CFR § 75.301 and 2 CFR § 200.202

- Use of award funds
- Compliance with award terms and conditions
- Issuing and monitoring subawards per 45 CFR § 75.352

Recipient internal controls and policies must meet 45 CFR § 75.303.

Awarding agency staff monitor recipients for compliance, performance, and need for technical assistance. Reviews include:

- Recipient reports
- Financial and progress reports
- Audit reports
- Correspondence,
- Onsite and remote site visits, and
- Other information.

The Notice of Award supplies HHS contact information and instructions for reporting.

Changes to Awards

Prior Approvals

At times, you may need to make changes to the program budget or activities. Some changes require prior written approval. To find out if a change needs prior approval:

- Carefully review your NoA.
- Review 45 CFR § 75.407 for actions needing prior approval.
- Review Appendix E of the GPS for prior approval requirements for certain types of awards.
- Ask your GMS if you are not sure.
- Ask your cognizant agency for indirect costs if you have questions about changes to indirect costs. The cognizant agency is the federal agency that approved your indirect cost proposal.

Seeking Prior Approval

Once you know that you need prior approval, you can request it from your GMS. Prior approval requests must include:

- Recipient name
- Principal investigator (PI) or project director (PD) and authorized organizational representative (AOR) name
- PI or PD and AOR telephone numbers and e-mail addresses

You must send your prior approval requests in writing, by mail, prior approval system, or email. It must:

- Be signed by the AOR (if sent in an email, attach the signed letter/memo)
- Include any necessary supporting documentation
- Get to the awarding agency in enough time for approval before making the change

Once received, the awarding agency GMO or his or her designee will review and approve or deny the request:

- If the GMO or GMS decides the change does not actually require prior approval, the awarding agency must promptly inform you.
- If prior approval is required, the GMS will send a decision to the AOR with a copy to the PI or PD within 30 calendar days of receipt.

Only the GMO or GMS, as the GMO's delegate, can issue written approval. Informal answers are not valid.

There is no appeal for denial of a prior approval request.

Subrecipient Prior Approvals

The recipient has the authority to give prior approval for changes to sub-award or contract activities or budget. This does not include any action inconsistent with the award purpose or terms and conditions. The awarding agency must approve any actions that will result in a change to project scope. Ask the GMS if you have questions about a proposed change.

Budget and Scope Changes

Minor Budget Changes

Within a budget period, you can adjust your budget without prior approval if:

- The change is within or between approved direct cost categories.
- Your award's federal share is below the simplified acquisition threshold, and your NoA doesn't include a prior approval need. Check the current threshold in the Federal Acquisition Regulation (FAR) at 2.101, Definitions.

Significant Budget Changes

Significant budget changes require prior approval when they constitute a change of scope or exceed 25 percent of total direct costs of the last approved budget period. When you are not clear if your budget change is beyond the scope, call your GMS.

Expanded Authority

If expanded authority is not granted in your NoA, you do not have it. To know if you have any expanded authorities:

- Review your NoA. Expanded authorities may be adopted by reference.
- Review your specific award conditions. These may include expanded authorities or limits on them.

When using expanded authorities as granted in the NoA, make sure you follow award requirements and the cost principles. All changes are subject to monitoring, audit, and related remedies for noncompliance. See the section below.

For a full understanding, see 45 CFR § 75.308(d)(1). Expanded authorities may include:

- Waiving the prior approval requirements in 45 CFR part 75, except for those listed in 45 CFR § 75.308(c)(1); and
- Three specific waivers in 45 CFR § 75.308(d), including:
    - Incurring project costs up to 90 calendar days before award. Doing so is at the recipient's risk.
    - Carrying forward unobligated balances to the next budget period unless the funds are currently restricted. You need prior approval to carry forward any unobligated balance to any budget period other than the next budget period.
    - Initiating a one-time extension of the period of performance by up to 12 months unless any of the following are true:
        - The extension requires additional federal funds
        - The extension involves any change in the approved project objectives or scope

Recipients may not use a one-time extension only to use unobligated balances.

Please Note: For awards that support research, unless your awarding agency provides other instructions in the NoA in general or because it is part of a regulation, the three specific waivers above (in 45 CFR § 75.308(d)) are automatic and noted in your NoA.

Several expanded authorities have specific deadlines for reports or notification. If a recipient consistently fails to meet them, the awarding agency may stop their ability to use them. Be sure to read your NoA carefully or ask your GMS if you have questions about expanded authorities under your award.

Extensions to Awards

The awarding agency may provide more time and funds after an award is made. The two types of extensions are:

- No-cost extensions: A time extension without more funds.
- Funding extension with funds: A time extension with added funds.

No-Cost Extensions

HHS agency prior approval is required for no-cost extensions, unless provided as an expanded authority.

When prior approval is required, the recipient must request the no-cost extension no less than 10 days prior to the end of the budget period.

In cases where there is expanded authority, the recipient must notify the HHS agency in writing with the supporting reasons and a recommendation for revised period of performance at least 30 calendar days before the end of the period of performance in the original NoA.

Regardless of whether approval is required, no-cost extensions are not meant to just spend unobligated funds. The purpose of a no cost extension is to:

- complete the project,
- provide for an orderly shutdown, or
- in some cases, provide a bridge to the next award.

If using expanded authority, and you do not need permission, you must tell the awarding agency.

Reminders for All Extensions

- You can't extend a period already lengthened by the awarding agency.
- Award terms and conditions still apply during the extended time.
- No matter the extension length, you must keep sending required reports as set out in your award.
- You must update all necessary certifications and assurances, including those about human subjects and animal welfare, following relevant rules and policies.
- A second extension longer than 12 months should be rare and will need special justification.
- If the agency denies an extension, you cannot appeal it.

Supplemental Funding Extension Without Change in Scope

A recipient may request supplemental funding with an extension of time without a change in scope that is under 25% of the total approved budget or $250,000, whichever is less, for the period of performance. These extensions are not competitive. Approving a request is at the discretion of the agency and depends on availability of funds.

Supplemental Funding Extension with Change in Scope

For supplemental funding and an extension of time with a change in scope, you must submit the request at least 30 days before the period of performance ends. The request must include the proposed revised ending date and justify both the extension and any additional funds. These extensions are not competitive. However, the HHS agency will conduct a merit review and will have to internally justify the award.

Transferring Major Work to A Subrecipient

Non-Pass-Through Programs

For these awards, you have a substantial project role and cannot just be a conduit for another party.

Before transferring major or substantive work to a subrecipient not in the approved application, you must get prior approval. This does not apply to buying or obtaining regular goods or services.

When asking for prior approval, include:

- What activities or tasks you want to transfer.
- Why a third party should do them.
- A detailed cost estimate and reasons, including any indirect costs and their reimbursement method.
- How you'll choose the subrecipient.
- The type of subaward planned.
- The types of organizations you'll solicit. If you've already chosen one, name it and explain why.

Pass-Through Recipient

A pass-through recipient means a non-Federal recipient that provides a subaward to a subrecipient to carry out part of a Federal program. In a pass-through program, the recipient:

- Chooses subrecipients to deliver services.
- Coordinates and oversees their activities
- Gives needed administrative support to meet awarding agency requirements.

For these programs, you don't need prior approval to give a subaward.

Change in Recipient or Recipient Status

The following section addresses policies for changes in recipient organization, scope, status of key personnel, and organizational status.

Change of Recipient Organization

To transfer the legal and management responsibility of an award to another organization, you must get prior approval.

The awarding agency must ensure the award's purpose and scope remain the same and the transfer aligns with federal appropriations laws and the statute or authority for the underlying award.

HHS allows transfer to a new recipient organization if:

- The award to be transferred has been terminated per 45 CFR § 75.372.
- There is a successor in interest or name change. Please contact your GMS for more information about the difference between these two.
- The awarding agency holds back a non-competing continuation award for reasons other than the project's performance. This can relate to the recipient's award management or not meeting terms and conditions.
- The original recipient agrees to give up the award before the period of performance ends. This can happen if a PI moves to a different organization. The project, with the same PI, can continue up to the current period of performance but not beyond. Costs cannot exceed the approved direct and applicable indirect costs.

Send your request as soon as possible before the end of the approved budget period within the period of performance.

If you want a change in organization, you must get prior approval from the GMS and sometimes, the Office of General Counsel. Contact the GMS if you believe the award needs to go to a new organization, ideally a few months ahead. Early requests enable important discussions, smooth review of the request, and avoid delays.

Supporting Documentation Needed for Requests

From the original organization:

- The PHS 3734, "Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant," or an equivalent form from the awarding agency.
- For research awards, include a "Final Invention Statement and Certification."
- A final Federal Financial Report within 120 days after the end of HHS support.

From the proposed new organization, the awarding agency will request an application and will provide instructions for completing the application.

Requirements for Review and Possible Approval

Transfer requests are only considered when:

- All benefits of the original award, including equipment purchased fully or partly with award funds, are transferrable;
- The awarding agency decides there is a continued need;
- There is no change in the project's scope. If there is, it may need a merit review and possibly a different procedure;
- The facilities and resources at the new organization will allow for successful performance; and,
- For transfers to or between foreign or international organizations, any special approval requirements are met. This might include approval by an advisory council or board.

Even if the requirements above are met, the HHS agency may reject the request or terminate the award.

To implement a recipient change, the HHS agency:

- Sends a revised NoA to the original recipient, updating the budget and end dates;
- Removes any support for future years;
- Deobligates any remaining funds, based on the expenses from the relinquishing statement; and,
- Issues an NoA to the new recipient, reflecting the balance from the relinquishing statement.

Change in Scope

The PI/PD may want to make changes in the methodology, approach, or other aspects of the project that do not change the scope. The GMS must give prior approval for a proposed change in scope.

A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application. This might include:

- Shifting the research emphasis from one disease area to another;
- Changing the service area;
- Eliminating a primary care delivery site; or,
- Making budget changes that cause a project to change substantially.

The HHS agency makes the determination of whether a proposed change is a change in scope.

Change in Status of Key Personnel

Key personnel include the PI or PD and any other key personnel named in the NoA.

Provide written request to the GMS if any key personnel:

- Withdraw from the project entirely;
- Are absent from the project for a period of three months or more; or,
- Reduce time devoted to the project by 25 percent or more from the approved level.

The awarding agency must approve replacement of key personnel, or any alternate arrangement proposed.

A request for approval to substitute key personnel includes:

- A justification for the change
- The proposed person's biography
- Other sources of support, if applicable
- Any budget changes resulting from the proposed change

If your proposed arrangements are not acceptable to the awarding agency, they may suspend or terminate the award. If unable to make suitable arrangements, you may relinquish the award. To do so, notify the GMS in writing. The GMS will forward closeout instructions.

Change in Organizational Status

You must inform the awarding agency ahead of time about specific changes in your organizational status to ensure a smooth transition and maintain compliance with administrative requirements. The following are the situations that require prior notification:

- Successor-in-interest: This happens when the obligations and rights of an award are acquired as a part of the transfer of assets. Common causes include legislation or legal actions such as mergers or shifts in corporate structure.
- Name change: This occurs when an organization changes its name, but it doesn't affect the rights or obligations of the award recipient.

- Merger: This is when two or more entities legally unite. Handling of this scenario depends on its nature:
    - If the merger results in the transfer of awards, use the policies for a successor-in-interest.
    - If the merger doesn't involve award transfers, it's treated as a name change.

If the change would be considered a change of recipient organization as discussed above, then you must obtain prior approval.

For any change in organizational status, ask your GMS. This agency is usually the one that has granted you the most awards. The GMS can clarify whether the change will be treated as a name change or a successor-in-interest and guide you on the necessary steps to follow.

Financial Management

You must meet the standards and requirements for financial management systems in 45 CFR § 75.302. You must have adequate internal controls and a way to manage your award consistent with Department of the Treasury requirements. See the Payment section of GPS.

Financial management systems must:

- Provide accurate, current, and complete financial information about federal awards.
- Provide reasonable procedures to ensure that subaward recipients submit timely financial reports.
- Maintain records that:
    - Identify the sources of funds for award-assisted activities
    - Identify the award's purposes and uses, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income
    - Include accounting records supported by source documentation, such as canceled checks, paid bills, payrolls, and time and attendance records
    - Maintain effective control and accountability for all cash, property, and other assets under the award; adequately safeguard them; and ensure that they are used only for authorized purposes.
    - Compare actual expenditures with the approved budget amounts for the award.
    - Include written procedures to implement the requirements of 45 CFR § 75.305.
    - Include written procedures for determining the allowability of costs in accordance with 45 CFR part 75, subpart E.

Deficiencies in your financial management system may result in specific award conditions or increased monitoring.

States must expend and account for funds according to state laws and procedures for the state's own funds and ensure compliance with all the requirements above.

Payment

You accept an award and its terms and conditions by drawing down or requesting award funds from the designated HHS payment system or office.

HHS generally makes award payments through the Payment Management System (PMS). HHS grant payments are generally advance payments. You should draw down funds as often as needed.

In accordance with Department of Treasury regulations, you must draw federal cash only for your immediate needs. At time of draw down, you will certify you will not hold cash beyond three working days. You are responsible for knowing when funds are deposited into your bank account so that you can disburse them on time. You may end up with excess Federal cash on hand if you do not disburse or return funds on time. Do not request cash to cover unliquidated encumbrances, obligations, or accrued expenditures until payment is pending.

Refer to the Payment Management System (PMS) website and PMS User Guide | HHS PSC FMP Payment Management System for further guidance.

Types of Payment

As noted, HHS grant payments are generally advance payments. There are multiple ways to receive payments, including SMARTLINK II/ACH, CASHLINE/ACH, and cash request.

- SMARTLINK II/ACH: directly deposits funds to your bank account after you request them from PMS. You must have Internet access to submit a request for funds to PMS. This method makes funds available the day after the request using the Federal Reserve Bank's Automated Clearinghouse process.
- CASHLINE/ACH: directly deposits funds to your bank account using a telephone to call a "voice-response" computer at PMS. Makes funds available the day after the request with direct deposit using the Federal Reserve Bank's Automated Clearinghouse process.
- Cash request: provides payment if you are not eligible for unrestricted advance of funds. It will say in the NoA if you must use cash requests for payment. Cash requests may be an advance or reimbursement.

You may request funds monthly for advance payments. This request should be based on expected disbursements for following month and the amount of Federal funds already on hand.

A request for reimbursement may be submitted more often than monthly. You should submit requests to the awarding agency at least 2 weeks before the cash is needed. PMS makes payment electronically through the ACH process upon receipt of the approved payment request from the agency.

Refer to the Payment Management System (PMS) website and PMS User Guide | HHS PSC FMP Payment Management System for further guidance.

Interest Earned on Advances of Award Funds

You must keep advance payments in interest-bearing accounts, except as provided in 45 CFR § 75.305(b)(8). You can keep interest earned up to $500 per year for administrative expenses. Each year, you must remit any interest earned over $500 per year to the Payment Management System.

Indirect Costs

Indirect Cost Rate Negotiation and Salary Rate Limit (SRL) Policy

Please see Indirect Cost Rate Negotiation and SRL Policy in the Application Section.

New or Amended Indirect Costs

The GMO may permit new or increased indirect costs on an award when:

- A timely cost proposal was not received.
    - This can happen only if funds are available.
    - The amount is limited to the period after the effective date of the rate agreement.
- Rebudgeting changes a direct cost, which impacts an indirect cost.
    - The recipient may adjust the budget within the award ceiling and generally does need prior approval. See the Prior Approvals section of GPS.
- The indirect cost rate changes.
    - Generally, award amounts will not be adjusted based on a negotiated indirect cost rate different from that used at award.
    - However, if funds are available, a GMO may provide additional funds for indirect costs, only if:
        - An error was made in computing the award. This includes when a higher rate is negotiated after award and the date of the new rate agreement is within a month prior to the budget period start.
        - The awarding agency restores funds previously recaptured as part of an unobligated balance.
        - The recipient is eligible for additional indirect costs associated with additional direct costs awarded, such as a supplemental award.
        - A provisional rate was approved, and an approved indirect cost rate is now in effect.
    - The permanent rate will be used to determine indirect cost reimbursement, however:

- If the permanent rate is lower than the provisional rate, the award will not be adjusted downward, unless the indirect cost proposal included unallowable costs.
- The awarding agency is not required to provide new funds to accommodate a higher rate.

Applicable Credits

Applicable credits are funds saved or received that can reduce costs. Common examples include:

- Discounts
- Rebates
- Refunds for losses
- Corrections for overcharges

If you have any of these credits, you need to update the Federal Financial Report (FFR) to ensure that the proper amounts are charged to the award. If there are any extra steps, the awarding agency will let you know.

See 45 CFR § 75.406.

Allowable Costs and Activities

Allowable costs are either a direct cost or an indirect cost, and:

- Meet the applicable cost principles, including all the following:
  - Meet the factors affecting allowability. See 45 CFR § 75.403.
  - Are reasonable. See 45 CFR § 75.404.
  - Are allocable. See 45 CFR § 75.405.
  - Are allowable under the NOFO, program requirements, and NoA, including specific conditions and overall terms and conditions.
- Are specifically approved in the award, which means either:
  - The cost was included in the original award.
  - The cost is later approved by the awarding agency. See the Prior Approvals section of GPS.

Contact the GMS before incurring a cost if you have questions about allowability.

Subrecipients and contractors under the award must follow the requirements of their applicable cost principles.

Costs that Require Prior Approval

If you specifically describe a cost or activity that requires prior approval in your application budget, that cost is approved by the agency when you receive your award unless otherwise stated in the NoA. You do not need to get additional prior approval for that cost or activity.

You must get prior approval from the agency if you do not describe the cost or activity that requires prior approval in your application.

Profits and Fees

HHS will not provide profits or fees, except for the Small Innovation in Research (SBIR) and the Small Business Technology Transfer (STTR) Programs.

You can't pay fees to subrecipients or consortium members, even if they are for-profit.

Contractors can make a profit for common goods or services in accordance with normal commercial practice. See 45 CFR § 75.351.

Expenditure Adjustments

Expenditure adjustments are used to correct accounting or bookkeeping errors. These adjustments move costs between two budget categories, with at least one related to the HHS award. Once the error is found, it must be corrected within 90 days. If after 90 days, you must ask the GMO for approval.

Don't use expenditure adjustments to cover cost overruns or for unallowable costs.

Documentation

The adjustment must be supported by documentation that fully explains how the error occurred. Documentation must:

- Explain how the error happened and have an official from your organization certify the correction.
- Show how the adjustment meets the cost principles of allowability, allocability, and reasonableness.
- Support why the adjustment is needed, considering the type of cost, the original charge, and when it was first recorded.

Unless the expenditure adjustment needs GMO approval, you don't need to send the documentation to the GMS. Keep records for monitoring or audits. See 45 CFR § 75.364.

Send a revised Federal Financial Report (FFR) if the adjustment changes your previous FFR.

Your financial system should catch errors quickly. Regular mistakes suggest you need to improve your accounting or internal controls. Agencies might ask for corrective actions or add terms and conditions to your award.

Rate of Expenditure and Drawdowns

Expenditure and drawdown rates give information about progress, financial management, and internal controls.

Expenditures

The GMS monitors spending rates within each budget period and throughout the period of performance.

The funds for each budget period are based on:

- the work planned for that time
- your budget, including any unobligated funds

HHS expects spending rates and types to match the approved plan and budget.

Drawdowns

The GMS checks drawdown patterns to see if money is taken out too early or too slowly. This can show:

- problems with your financial management system or internal controls
- risk of not finishing the project on time and within budget

If issues are found, the GMS will ask for more details and help you make corrections, which may include coordinating with the agency PO and GMS.

Cost Allocation

If a cost benefits more than one project or activity, divide the cost based on the benefit to each project.

If it is hard to determine the split because the projects are closely linked, distribute the costs on a reasonable basis with clear and documented explanations.

Treatment of Unobligated Balances

Unobligated balances are funds under an HHS award that you have not obligated. You calculate this by subtracting the cumulative amount of funds obligated from the cumulative amount of funds authorized.

Unliquidated obligations are commitments you have made, but not yet paid. Unliquidated obligations should not be reported as part of an unobligated balance.

If you have unobligated balances in your annual FFR, the awarding agency can:

- Carry Over: Revise the NoA to carry over to a following budget period.
- Offset: Move them to the next budget period but deduct the total from the award amount.
- A Mix: Use a mix of carry over and offset.

During an active budget period, if you have unobligated balances from a previous budget period, you can ask the awarding agency in writing to use them. If approved, the awarding agency will amend the NoA. If approved, funds carried over can be used for costs within scope of the project.

Program Income

Program income is gross income earned by an award recipient, subrecipient, or contractor and directly generated by an award-supported activity or earned as a result of the award.

Program income includes:

- fees for services
- charges for the use or rental of real property, equipment, or supplies bought with the award
- the sale of products made under an award
- charges for research resources
- license fees and royalties on patents and copyrights

The NoA governs the use of royalties and other income earned from a copyrighted work, patents, patent applications, trademarks, or inventions.

Accountability

Accountability refers to whether the awarding agency specifies how the program income is to be used, if the income needs to be reported to the awarding agency, and for what length of time. The following general policies apply:

- Unless otherwise specified in the award terms and conditions, you are not accountable for program income earned after the period of performance ends.
- Program income may be used only for allowable costs using the applicable cost principles and award terms and conditions.
- Subawards and contracts are subject to the same terms regarding generated income as the recipient. The following policies apply related to when the program income is earned:
    - Received and expended during the period of performance. Recipient is required to use program income as provided in the NoA.
    - Received and expended after the period of performance. Required to adjust the final FFR to reflect receipt and use of the income as directed by the GMO.
    - Received during the project period but expended after the period of performance. This may happen if you earn the income during the final budget period of the period of performance, please get GMO approval to use income post final budget period and adjust the final FFR accordingly.

Alternatives for Use

The NoA will tell you how to use program income. Here are the alternatives:

- Additive: Add it to the project's funds to further allowable objectives. Program income must be used for the purposes and under the conditions of the award.
- Deductive: Deduct it from the project's total costs and reduce federal funds and recipient cost-sharing contributions.
- Combination: Uses the additive alternative for program income up to $25,000 and the deductive alternative for any amount over $25,000.

- Matching: Use it as all or part of the non-federal (matching) part of an award.

See 45 CFR 75.307(e) for more information.

Generally:

- For non-research projects: If not specified in the NoA, use the deductive method.
- For research projects (except for awards to for-profit organizations other than the SBIR and STTR programs): If it is not specified, use the additive method.

Reporting of Program Income

Recipients must report the amount of net program income earned and expended on the FFR. This is the gross program income earned minus the costs associated with generating the income.

- Report program income using the additive alternative on line 10n, which will populate line 10o.
- Report program income using the deductive alternative on line 10m, which will populate line 10o.
- Report program income used to satisfy match on line 10j. Do not include it on line 10l.

Reporting requirements for accountable income earned after award support ends are in the NoA.

Cost Sharing

Cost sharing — or matching — is the portion of project costs not paid by federal funds, unless otherwise authorized by federal statute. This may include:

- The value of allowable third-party in-kind contributions.
- Non-award funded expenditures made by the recipient.

See 45 CFR § 75.306 for rules on cost sharing or matching.

The following policies apply:

- Cost sharing may be voluntary or required by the NoA.
- Required cost sharing is part of the total approved budget in the NoA. It is part of the award requirements and enforceable.
- Cost sharing must follow the same requirements as the federal portion of the budget. This includes applicable cost principles, prior approval requirements, and other rules for allowability.
- Recipients may apply program income toward cash match only when expressly permitted by the NoA with prior approval.
- All cost sharing contributions must be from allowable sources. See 45 CFR § 75.403, 45 CFR § 75.404 and 45 CFR § 75.405

- For research awards:
    - Voluntary cost sharing is not expected under research proposals.
    - Voluntary cost sharing cannot be used as a factor during merit review of research applications unless explicitly described in the NOFO review criteria.
    - Only mandatory cost sharing or cost sharing committed in the budget must be included in your research base for computing your indirect cost rate or reflected in allocating indirect costs.

The awarding agency will accept shared costs or matching funds, including cash and third-party in-kind contributions, when they meet all the following:

- follow 45 CFR § 75.306(e) for volunteer services
- are verified from the recipient records
- are necessary and reasonable to accomplish project objectives
- are provided for in the approved budget when required
- are not paid by the federal government under another federal award, unless specifically allowed by law. See 45 CFR § 75.306(b)(5)

The following policies apply:

- Sources of cost sharing or matching contributions must follow the applicable cost principles. See 45 CFR part 75, subpart E.
- If an awarding agency authorizes the recipient to donate buildings or land for construction or facility acquisition or long-term use, the value of the donated property for cost sharing or matching is generally the lesser of:
    - the value of the remaining life of the property recorded in the recipient's accounting records at the time of donation
    - the current fair market value

  See 45 CFR § 75.306(d).
- You must document in your records all costs and contributions used to satisfy a matching or cost-sharing requirement. These are subject to audit.
- You may use unrecovered indirect costs to satisfy cost sharing requirements with prior approval. These are the difference between the amount charged to the award and the amount that could have been charged to the award under the recipient's approved negotiated indirect cost rate.
- A third-party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if either:
    - it is an increase in the services or property provided under the contract without added cost to the recipient or subrecipient, or
    - it is a cost savings to the recipient or subrecipient.

If the NOFO specifies that matching or cost sharing is required, it will also say:

- Whether including matching or cost sharing in the application is an eligibility requirement or an evaluation criterion.
- The nature of the requirement. For example, whether it is a fixed percentage.
- Required documentation, like letters of commitment.

Valuation of Volunteer Services

Anyone offering skilled or manual work can volunteer for award-related activities. See 45 CFR § 75.306(e)-(f).

To value the services:

- For individuals:
  - Use the usual rates your organization pays or area market rates for similar work.
  - If you do not have a set rate, use the typical local rate for that work.
  - You can also add a fair amount for fringe benefits.
- For employees lent by other companies:
  - Use their regular rate if they are doing their typical job.
  - Use the method for individuals if they are doing something different.

Valuation of Donated Buildings and Land

If an awarding agency authorizes you to donate buildings or land for construction or facilities acquisition projects or long-term use, the value of the donated property for cost sharing must be the lesser of the following:

- the value of the remaining life of the property
- the current fair market value

See 45 CFR § 75.306(d), (h), and (i).

Enforcement

If you do not meet the specified level of cost sharing in the NoA, an awarding agency may do any or all of the following:

- reduce the award amount
- adjust down award funds during the budget period
- disallow costs post award

Procurement Management

You may acquire goods or services in support of award activities. The following policies apply when procuring property and services under an award:

- States must follow the same policies and procedures it uses for non-federal funds. Follow the requirements at 45 CFR § 75.326.
- All other recipients and subrecipients of a state must follow the procurement standards in 45 CFR §§ 75.327 through 75.335.

In order to procure goods and services, you must:

- Have written procurement procedures and standards of conduct that reflect applicable state, local, and tribal laws and regulations,
- Use a procurement method
- Do a cost or price analysis for all procurements above the simplified acquisition threshold
- Choose responsible contractors
- Follow all requirements in this section of the GPS

The HHS awarding agency has no direct relationship with your contractor.

Recipients other than federal institutions cannot use General Service Administration (GSA) supply sources except states who may acquire hardware and software from the GSA supply sources consistent with the terms and conditions of the GSA schedule.

Fixed Amount Subawards

With prior written approval from the GMO, you may provide subawards based on fixed amounts up to $500,000 (2 CFR § 200.333). Fixed amount subawards must meet the requirements for fixed amount awards in 45 CFR § 75.201.

Requirements for States

States may follow the same policies and procedures for procurements using non-federal funds. States will comply with 45 CFR § 75.331 and ensure that every purchase order or other contract includes any clauses required by 45 CFR § 75.335.

States may acquire hardware and software from Federal Supply Schedules consistent with the terms and conditions of the schedules.

State agencies or agencies that are political subdivisions of states must comply with section 6002 of the Solid Waste Disposal Act as amended by the Resource and Conservation Act. The requirements include:

- Procuring only items noted in guidelines of the Environmental Protection Agency (EPA) at 40 CFR § 247 that contain the highest practical percentage of recovered materials.
- Keeping an acceptable level of competition, where the purchase price of the item is more than $10,000 or the value of the amount acquired during the previous fiscal year was more than $10,000.
- Procuring solid waste management services to maximize energy and resource recovery.
- Establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

Requirements for Foreign Entities

The HHS awarding agency may require a review of all proposed procurements exceeding a certain dollar amount or for certain types of services. The HHS awarding agency may also add specific terms and conditions to its awards that address the procurement of such goods and services.

Selecting Responsible Contractors

You must avoid acquiring duplicate or unnecessary services or goods. You should use the most efficient strategy for acquisition. You should use federal excess and surplus property whenever possible to reduce project costs. You must award contracts based on factors like:

- Integrity
- Compliance with public policy
- Past performance
- Financial and technical resources

System for Award Management (SAM) Eligibility

You must check the System for Award Management (SAM.gov) to make sure that you do not make a subaward or contract to a debarred, suspended, or ineligible organization. SAM needs to be checked:

- By the recipient organization:
    - for all first tier subawards, regardless of the amount
    - for all first-tier procurement contracts of $25,000 or more
    - for all lower tiers of contracts under covered non-procurement transactions. See 2 CFR § 376.220.
- By the subaward recipient for all lower tier subaward recipients.

Written Agreements

You must execute a written agreement between your organization and the subrecipient, if applicable. The agreement must include all the following:

- the activities to be performed

- time schedule
- the provisions required by 45 CFR § 75.335 and found in 45 CFR part 75, Appendix II.
- policies and requirements that apply to the contractor, including 45 CFR § 75.327 and other relevant award terms and conditions
- maximum amount of funds to be awarded
- cost principles to be used in determining allowable costs for cost-type contracts

The following policy applies:

- The agreement must not affect your overall responsibility for the project or accountability to the federal government.

Subrecipient Periods of Performance - Contracts

If the term of the contract and the award budget period are not the same, you may charge the contract costs to the budget period in which the contract is executed even though some of the services will be performed in a later period. These conditions apply:

- You must notify the awarding agency.
- The expected contract performance period goes beyond the current budget period.
- You have a legal commitment to settle all contractual and administrative issues. See 45 CFR § 75.327(k).
- Only costs for services provided during the period of performance are allowable.
- For rental costs for facilities and equipment charge the applicable amount in each budget period as applicable. Contact the GMS before entering into leases that will result in direct charges to the award.

To limit liability, recipients should insert a clause in contracts less than $100,000 that states that payment after the end of the current budget period is contingent on continued federal funding.

Time and Materials Contracts

Time and materials contracts may only be used if:

- there is no other appropriate contract type
- the contract includes a ceiling price that the contractor exceeds at its own risk
- the direct hours are fixed and include wages, general and administrative expenses, and profit

Procurement Methods

You must use one of the following methods of procurement:

- Micro-purchases
- Small purchase procedures
- Sealed bids
- Competitive proposal

- Noncompetitive proposal

Micro-purchase procurements are the acquisition of supplies or services when the total dollar amount is less than the micro-purchase threshold ($50,000). To the extent possible, you must distribute micro-purchases equitably among qualified suppliers. Micro-purchases do not require soliciting competitive quotations if cost is reasonable.

Small purchase procurements involve simple procurement methods for securing services, supplies, or other property less than the Simplified Acquisition Threshold ($250,000). Non-federal entities must obtain price or rate quotes from sufficient qualified sources.

Sealed bid procurements require public solicitation for bids, leading to a firm fixed price contract (lump sum or unit price) given to the bidder whose bid is the lowest in price and complies with all material terms and conditions.

Competitive proposals usually involve more than one source sending an offer. A fixed price or cost-reimbursement type contract is awarded. It is generally used when sealed bids are not appropriate. You must adhere to the following requirements when using this procurement method:

- Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical.
- Proposals must be solicited from an adequate number of qualified sources.
- You must have a written method for technical evaluations of the proposals and for selecting bids.
- Contracts must be awarded to the responsible firm whose proposal is best for the program.

You can also use the competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services. Applicant qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation.

Non-competitive proposals solicit a proposal from a single source. You may only use this method when the item is only available from a single source or in the event of a public emergency to expedite the acquisition, or when there is inadequate competition for a product, material, or service. You can get approval for non-competitive proposals from the GMO or his/her delegate.

Upon request, you are required to undergo a pre-procurement review and submit procurement documents to the HHS awarding agency or pass-through entity when:

- Your procurement procedures or operations do not comply with the procurement standards required by those regulations.
- The procurement is expected to exceed the Simplified Acquisition Threshold and is to be awarded without competition, or only one bid or proposal is received in response to a solicitation.
- A procurement that will exceed the Simplified Acquisition Threshold specifies a “brand name” product.

- A proposed award over the Simplified Acquisition Threshold is to be awarded to other than the apparent low bidder under a sealed-bid procurement.
- A proposed contract modification changes the scope of a contract or increases the contract amount by more than the amount considered to be a simplified acquisition.
- When prior written approval is required, the non-federal entity must make available sufficient information to enable review. This may include, at discretion, pre-solicitation technical specifications or documents, such as requests for proposals or invitations for bids, or independent cost estimates. Approval may be deferred pending submission of additional information by the non-federal entity or may be conditioned on the receipt of additional information. Any resulting approval does not constitute a legal endorsement of the business arrangement by the federal government nor does such approval establish the HHS awarding agency as a party to the contract or any of its provisions.

Written Standards of Conduct and Conflict of Interest

Recipients must maintain written standards of conduct covering conflicts of interest. Individuals affiliated with a recipient organization cannot participate in the selection, award, or administration of a contract supported by a federal award if they have a real or apparent conflict of interest with:

- Employees
- Officers
- Agents
- Immediate family members, spouses, or partners
- Potential employer

These individuals are prohibited from soliciting gratuities, favors, or anything of monetary value from subrecipients. However, recipients may set standards for situations where financial interest is not

agency for utilization using the SF-428-B (final) or SF-428-C (disposition). The recipient will receive disposal instructions from the HHS awarding agency.

Revocable License

In some cases, federally owned property may be made available to a recipient under what is called a "revocable license agreement." This agreement means the HHS awarding agency allows the recipient to use the property for the period of the award under the following conditions:

- The title to the property remains belongs to the federal government;
- The HHS awarding agency reserves the right to require the property to be returned to the should it be determined to be in the best interests of the federal government to do so;
- The use to which the non-federal entity puts the property does not permanently damage it for federal government use; and,
- The property is controlled and maintained in accordance with the requirements of the NoA.

Equipment

Equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit purchase cost which equals or exceeds the lesser of the capitalization level established by the recipient for financial statement purposes, or $10,000.

Please see the general requirements under 45 CFR § 75.320 and 45 CFR § 75.439 for how to manage and track equipment. Unless a statute specifically says the recipient should own the title for equipment without further obligation to the HHS awarding agency, the title must be a conditional title. Under this conditional title, the recipient must:

- Use the equipment for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project; and,
- Not restrict the use of the equipment without approval of the HHS awarding agency.
- Subject to disposition instructions provided by the HHS awarding agency, use the equipment in the project it was acquired in as long as needed, whether or not the project continues to be supported by the federal award.

Important Property Reminders

- You must classify equipment that will be permanently attached or fixed to the land as real property.
- States must use, manage, and dispose of equipment acquired under a federal award by the state in accordance with state laws and procedures.
- Real property constructed or renovated with award support may not be conveyed, transferred, assigned, mortgaged, leased, or in any other manner encumbered by the recipient, except as expressly authorized in writing by the awarding agency.

- If you default on a mortgage, you must immediately notify the GMS by telephone and in writing. If the mortgage holder intends to foreclose, you must notify the GMS in writing at least 30 days before the foreclosure action is initiated.
- The mortgage agreement must specifically allow, in the case of default, that HHS or its designee may assume the role of mortgagor (borrower) and continue to make payments.

Insurance

You must insure property and equipment acquired or improved under an award. The following policies apply:

- You must provide the same insurance coverage for property under an award as you do for other such property.
- You don't need to insure federally owned property unless required by the award terms and conditions.
- If your organization is a government agency, you may follow your own insurance requirements.
- If title to real property bought with award funds vests with your organization, you must provide the following minimum insurance coverage:
    - Title insurance policy covering the fee interest in the real property for an amount not less than the full appraised value of the property, even if federal support is partial.
    - Physical destruction insurance policy covering the full appraised value of the facility from risk of partial and total physical destruction, even if federal support is partial.
    - You must maintain the insurance policy for the duration of the federal interest in the property.

Within five days of completion or beneficial occupancy, you must submit a written statement signed by the AOR to the GMS. This statement must assure that you have purchased the required insurance policies and will maintain the insurance coverage as required above.

Self-Insurance

The awarding agency may waive one or both of the requirements above if you are effectively self-insured. If you claim self-insurance, you must provide the awarding agency an assurance that includes:

- A statement that you meet the definition of effectively self-insured. This means that you have sufficient funds to pay for any damage to the facility, including total replacement, or to satisfy any liens placed against the facility.
- The source of the funds, such as the organization's endowment or other special funds set aside for this purpose.

See 45 CFR § 75.447.

Notice of Federal Interest for Construction, Acquisition, and Modernization

A Notice of Federal Interest (NFI) is required for construction, acquisition, and modernization, except for Minor A&R. The non-federal entity (or owner, if other than the non-federal entity) must file an NFI prior to initiating construction or modernization, or when an existing facility or land is acquired with federal funds. The non-federal entity must:

- Record the NFI by the owner in the appropriate public records of the jurisdiction where the property is located. Associated fees are allowable costs.
- Provide a copy of the NFI to the HHS awarding agency.
- Accurately indicate that the property was constructed, acquired, or modernized with HHS awarding agency funds and, that during its useful life of the facility, as defined in the NFI, the HHS awarding agency's use and disposition requirements apply.
- Seek review by the HHS awarding agency to make sure it is acceptable.

The federal interest may not be conveyed, transferred, assigned, mortgaged, leased, or otherwise be encumbered or subordinated by a non-federal entity unless approved by the HHS awarding agency.

Property and Equipment Disposition

According to 45 CFR § 75.318(c), you must request disposition instructions from the awarding agency when:

- Property under the award is no longer needed for the intended purpose or you will not be using the property for other activities currently or previously supported by an awarding agency.
- Federal statutes, regulations, or awarding agency disposition instructions in the NoA do not say otherwise.

Equipment

Unless the NoA or HHS awarding agency instructions say otherwise, you must dispose of the property as follows, in accordance with awarding agency disposition instructions:

- Retain, sell, or dispose of equipment items with a current fair market value of $10,000 or less, with no further responsibility to the government. See 2 CFR § 200.313(e)(1). The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.
- Retain or sell equipment items with a current fair market value over $10,000. The following apply:
    - You pay the awarding agency the current fair market value according to the percentage of the federal share in its original cost.

- If sold, the awarding agency may allow you to deduct the lesser of $500 or ten percent of the proceeds from the federal share.
- If you organization is a non-profit institution of higher education or non-profit organization with a principal purpose of scientific research, you are exempt from any requirement to account for proceeds from a sale.

- Transfer property title to the federal government or an eligible third party. You are entitled to compensation for its share of the current fair market value.

Supplies

Your organization is assigned the title to supplies when you acquire them. If you have more than $10,000 in supplies after the award is terminated or project is completed, you must retain the supplies for use on other activities, or sell them, and then compensate the federal government for its share. See 2 CFR §200.314.

Modernization of Real Property

Modernization includes both major and minor alterations and renovations (A&R) unless otherwise stated. Modernization is not an allowable cost under the following:

- Federal awards to individuals
- Conference awards

You may not perform major A&R using federal funds or required matching or cost sharing unless

- There is specific statutory authority, and
- The NoA explicitly allows it.

Minor A&R is an allowable cost under all types of awards with prior approval under the following criteria, unless restricted in the NOFO or NoA:

- The governing statute or program regulations do not exclude it.
- The work is required to use the space more effectively to meet the program needs.
- The building has a useful life consistent with the project and is architecturally and structurally suitable for conversion.
    - If you own the property, it has a useful life consistent with the project.
    - If you lease the property, the terms and length of your lease are consistent with the project.
- Work and costs to get an initial occupancy permit is not an allowable cost. Costs must be for purposes other than human occupancy (e.g., storage).
- If the building is under construction or the A&R will take place in an incomplete structure, the costs are only allowable if:
    - It is cost-effective to perform the A&R while the building is under construction or being completed, and

  - Minor A&R costs are limited to the difference between the cost of completing the interior space for general use and the cost of adapting it for the federal award supported purpose.

- The space involved will be occupied by the project.
- National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA) requirements are followed, as applicable.

The following are not considered minor A&R:

- Costs associated with routine maintenance, painting, and repair of facilities or equipment that are normal business costs and generally charged as indirect.
- Certain costs of installing equipment, such as the temporary removal and replacement of wall sections and door frames to place equipment in its permanent location, or the costs of connecting utility lines, replacing finishes and furnishings, and installing any accessory devices required for the equipment's proper and safe utilization, unless the non-federal entity's accounting system considers these modernization costs rather than equipment costs.
- Costs of furnishings and movable equipment.

Federal Interest Involving Construction and Modernization of Leased Property

You must make sure any leased property that you propose construction or modernization costs for has a long enough lease for the full value of the federal award supported improvements to benefit the award activity and support the expected useful life of the facility. You must submit additional documentation to the HHS awarding agency in these cases:

- You must submit lease language to the HHS awarding agency prior to drawing down funds or being reimbursed.
- The property owner must consent to the proposed work, acknowledge federal interest in the property, and file a Notice of Federal Interest (NFI), if required. The lease must include, or be amended to include:

  - Your full use of and access to the leased property during the term of the lease.
  - Your agreement not to sublease, assign, or otherwise transfer the leased property, or use the property for a non-federal award-related purpose(s) without the written approval of the HHS awarding agency (at any time during the term of the lease, whether or not federal award support has ended).
  - That the lessor will inform the HHS awarding agency of any default by the non-federal entity under the lease.
  - The HHS awarding agency has 60 days from the date of receipt of the lessor's notice of default in which to attempt to eliminate the default, and that the lessor will delay exercising remedies until the end of the 60-day period.

- The HHS awarding agency intervening to ensure that the default is eliminated by the non-federal entity or another non-federal entity named by the HHS awarding agency.
- The lessor accepting payment of money or performance of any other obligation by the HHS awarding agency's designee, for the non-federal entity, as if such payment of money or performance had been made by the non-federal entity.
- If the non-federal entity defaults, the federal award is terminated, or the non-federal entity vacates the leasehold before the end of the lease term, the HHS awarding agency has the right to designate a replacement for the non-federal entity for the balance of the lease term, subject to approval by the lessor in a separate agreement with HHS, which will not be withheld except for good reason.
- Documentation of a NFI for the leased property (if required).

Intangible Property

Intangible property is property having no physical existence. These may include:

- trademarks, copyrights, patents, and patent applications
- property, such as loans, notes, and other debt instruments; lease agreements; stock; and other instruments of property ownership

Intellectual Property

HHS expects you and your PIs and PDs to make your award results and accomplishments available to the research community and the public. If the research results in inventions, the Bayh-Dole Act of 1980 and 37 CFR part 401 apply. If you follow these requirements, you have the right to retain title to any invention conceived or first actually reduced to practice.

The law and regulation promote:

- commercialization of federally funded inventions.
- free competition and enterprise without restricting future research and discovery.

The law and regulation require recipients to:

- Make efforts to develop and commercialize the technology to advance to industry for development.
- Make unpatented research products or resources available through licensing to vendors or other investigators.
- Share copyright-protected research outcomes in journal articles or other publications.

Irrevocable and Royalty-Free License

Except as otherwise provided in the NoA, you may assert copyright in any publications, data, or other copyright-protected work developed under an award. Doing so does not require awarding agency approval.

Rights in data also extend to students, fellows, or trainees under awards with an educational purpose. In this case, authors are free to assert copyright in works.

The federal government has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use material resulting from a supported project or program. This applies whether HHS funded all or part of the project. You are responsible for ensuring that any necessary copyrights obtained from your subrecipients also allow the material to be used by the federal government.

HHS may also extend this license to others for federal purposes. For example, to make it available in government-sponsored databases for use by other researchers. The NoA addresses the specific scope of awarding agency rights. See 45 CFR § 75.322(d), 45 CFR § 75.365.

Access to Research Data

A federal agency may use award-related research data in developing an agency action that has the force and effect of law. If so, 45 CFR § 75.322(e)(1) requires recipients to release the research data to the awarding agency to support a FOIA request. See 45 CFR § 75.322(e). See also:

- the definition of research data at 45 CFR § 75.322(e)(3).
- the definition of records, which includes research data at 45 CFR § 5.3.

Excluded are:

- drafts of scientific papers
- plans for future research
- peer reviews
- communications with colleagues
- physical objects (e.g., laboratory samples, audio or video tapes)
- trade secrets
- commercial information
- materials necessary to be held confidential by a researcher until publications in a peer-reviewed journal
- information that is protected under the law such as intellectual property
- personnel, medical files, and similar files, if disclosure would constitute an unwarranted invasion of personal privacy
- information that could be used to identify a particular person in a research study

If the data are publicly available, HHS directs the requester to the public source. Otherwise, the awarding agency FOIA coordinator handles the request, consulting with the recipient and the PI. The recipient may charge a reasonable fee to cover their costs to respond. HHS may do the same.

This requirement to release research data does not apply to for-profit organizations or to research data produced by state or local governments. However, if a state or local government recipient contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, those data are subject to disclosure.

Patents and Inventions

Inventions conceived or first actually reduced to practice under awards are governed by the Bayh-Dole Act, 35 USC 200-212, and implementing regulations at 37 CFR part 401.

The regulations at 37 CFR § 401 apply if both the following are true:

- Inventions result from federally funded research.
- Your organization or your subrecipient or contractor is a university, non-profit entity, governmental entity, or small or large business.

See iEdison for more information.

Royalties and Licensing Fees from Copyrights, Inventions, and Patents

You may commercially apply intellectual property and require payments for its use.

Unless the NoA says otherwise, you do not have to report program income earned from license fees and royalties. This includes copyright-protected material, patents, patent applications, trademarks, and inventions made under an award.

You may pay royalties to others as an allowable direct cost.

See 45 CFR § 75.448.

Invention Reporting

For information, see Invention Reports at iEdison. See also 37 CFR part 401.

Seek the advice of the GMS about:

- Whether an invention made under a career development award is a subject invention
- The extramural technology transfer policy
- Reporting of inventions

Publications and Acknowledgement of Support

Publications

HHS encourages you to publish the results and accomplishments of awards. You can publish your results without prior approval. These policies apply, unless otherwise specifically addressed in your NoA:

- You may assert copyright in scientific and technical articles based on data produced under the award.

- You may transfer copyright to the publisher or others for journal publication or other professional activities.
- All copyrights, including transfers, are subject to a royalty-free, non-exclusive and irrevocable license to the federal government, and any agreement must include that the assignment is subject to the government license.
- You must account for royalties and income earned from a copyrighted work as specified by the awarding agency.
- You must submit one copy of each publication resulting from work under an award with the annual or final progress report.
- If you plan to issue a press release about award-supported activities, you must notify the awarding agency in advance to allow for coordination.

Stevens Amendment

HHS will include the following information in your NoA and NOFO. When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents – such as toolkits, resource guides, websites, and presentations – describing the projects or programs funded in whole or in part with HHS funds, the recipient must clearly state:

- the percentage and dollar amount of the total costs of the program or project funded with federal money; and
- the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

The NoA may provide further instructions and language to use.

Acknowledgement of Support

When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents – such as tool-kits, resource guides, websites, and presentations (hereafter "statements") – describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

- the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
- the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

- If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources: This [project/publication/program/website, etc.] [is/was] supported by the [full name of the OPDIV/STAFFDIV] of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling $XX

with 100 percent funded by [OPDIV/STAFFDIV]/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by [Name of the Awarding Agency]/HHS], or the U.S. Government. For more information, please visit [Award Agency Stevens Amendment website, if available].

The HHS Grant or Cooperative Agreement IS partially funded with other nongovernmental sources:

- This [project/publication/program/website, etc.] [is/was] supported by the [full name of the HHS Awarding Agency] of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling $XX with XX percentage funded by [full name of the HHS Awarding Agency]/HHS and $XX amount and XX percentage funded by non-government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by [Awarding Agency]/HHS, or the U.S. Government. For more information, please visit [Award Agency's Stevens Amendment website, if available].

Oversight and Monitoring

Subrecipient Flow-Down Requirements

The GPS applies to subrecipients and contractors. This includes consortium agreements where the recipient collaborates with other organizations.

The terms and conditions of awards flow down to subawards and subrecipients unless a particular GPS policy or award term and condition specifically says otherwise.

You have to have a formal written agreement with each subaward recipient. You must include applicable GPS requirements in your subaward agreements. Agreements must meet programmatic, administrative, financial, and reporting requirements. At a minimum, the subaward agreement must include:

- the PI or PD and subrecipient staff responsible for the program activity, including roles and responsibilities
- program administration and monitoring procedures
- policies and process for subrecipient funding, such as allowable costs, expenditure approval, funding caps, payment method and schedule, required documentation
- travel, salaries, and fringe benefit policies and procedures
- applicable public policy requirements and applicable assurances and certifications and provisions indicating the intent of the subrecipient to comply, including submission of applicable assurances and certifications
- conflict of interest requirement
- provisions regarding property, program income, publications, reporting, record retention, and audit

Reporting

You must submit financial, performance, and other reports. Not meeting reporting requirements could result in enforcement actions. These actions include those in the Remedies for Noncompliance section of the GPS including 45 CFR §§ 75.371-.380, and reporting to Responsibility/Qualification in SAM.gov (formerly FAPIIS).

Federal Financial Reports

You submit Federal Financial Reports (FFRs) through the Payment Management System (PMS).

How often you need to submit an FFR is in the NoA. This can range from quarterly to annually. Higher risk recipients may report more often.

Updated information on FFRs is at the Program Support Center for PMS.

You may need to revise your FFR in some cases. You must submit a revised FFR to HHS immediately for overcharges. You also must submit revised FFRs as soon as possible for expenditures that you did not report before. You must explain why the revision is necessary and how you will prevent this in the future. For annual FFRs, revisions are due no later than 9 months from the end date. For final FFRs, revisions are due no later than 6 months after the end date. The agency will tell you how your award will be updated if revised FFRs are accepted.

PLEASE NOTE: The GMS may not accept a revised interim FFR submitted by the recipient that claims additional expenditures after one year from the end of the reporting period (regardless of when the original report was actually submitted).

Progress Reports

You submit progress reports through GrantSolutions or NIH eRA.

The reporting schedule and requirements are in the NoA. Schedules can range from quarterly to annually. Higher risk recipients may report more often.

See 45 CFR § 75.342(b)(1).

Other Reporting

Intellectual Property Reporting

If you have a research award, you must report on patents and inventions through iEdison (iEdison | NIST).

Each competing continuation application and progress report (when used in lieu of a non-competing continuation application) must indicate whether or not any subject inventions were made during the preceding budget period.

Invention Reporting

You must report on inventions. The iEdison website includes information on invention reports. See also 37 CFR part 401.

You must also submit an annual invention use report for:

- all inventions to which title has been elected, and
- inventions that have been licensed but not patented (research tools).

The utilization report provides a way to evaluate the extent of commercialization of subject inventions, consistent with the objectives of the Bayh-Dole Act.

Contact the GMS for questions, including:

- if inventions under a career development award is a subject invention
- the extramural technology transfer policy
- reporting and use of inventions

Real Property Reporting

Construction awards must report the status of real property each year for as long as the federal government retains an interest, up to 15 years. If the federal interest lasts beyond 15 years, the awarding agency or pass-through entity may require the recipient to report at various multi-year frequencies.

Non-Compliance

Failure to Submit Reports

When you fail to submit required reports within the time allowed, the awarding agency may take enforcement actions including those in the Remedies for Noncompliance section of the GPS.

Overdue Reports

An awarding agency may give a waiver, if permitted by law, or extension if a report is overdue and the reason is beyond your control.

Failure to meet a new date may result in the awarding agency taking enforcement actions.

Submission of a required report does not necessarily fulfill your obligation. Reports must meet content requirements. You must provide the revised report by the indicated due date to avoid enforcement actions.

Fraud, Waste, and Abuse

Fraud, waste, or abuse related to HHS awards or use of award funds should be reported to HHS. Fraud, waste, and abuse may be reported:

- By telephone at 1-800- HHS-TIPS (1-800-447-8477) or TTY at 1-800-377-4950
- Fax at 1-800-223-8164. Forms for use are available at the OIG website.
- E-mail at HHSTips@oig.hhs.gov
- USPS mail at U.S. Department of Health and Human Services, Office of Inspector General, Attn: OIG Hotline Operations, P.O. Box 23489, Washington, DC 20026.

If you report, you are not required to give your name, but if you do, your identity is kept confidential.

Fraud, waste, and abuse includes embezzlement, misuse or misappropriation of award funds or property, and false statements or claims. Examples include:

- theft of award funds for personal use
- using funds for non-award-related purposes
- theft of federally owned property or property acquired or leased under an award
- charging inflated building rental fees for a building owned by the recipient
- submitting false financial report
- submitting false financial data in bids submitted to the recipient

The federal government may pursue administrative, civil, or criminal action under a variety of statutes that relate to fraud and false statements or claims. Even if no award is made, you may be subject to penalties if information submitted as part of an application is found to be false, fictitious, or fraudulent. See the statutes referenced in Appendix D and Appendix E for statutes related to fraud, waste, and abuse.

Paperwork Reduction Act

The Paperwork Reduction Act (PRA), 44 USC 35, as implemented by 5 CFR part 1320, is designed to:

- Reduce, minimize, and control burdens
- Maximize the practical use and public benefit of the information created, collected, disclosed, maintained, used, shared, and disseminated by or for the federal government

OMB clearance is required for awarding agency collection of information. This includes all application or reporting forms, whether paper or electronic. Below is information about how the PRA is implemented.

Federally Sponsored Surveys

Recipients may use award funds to collect information through surveys or questionnaires:

- When the collection of information is not a primary objective of the award but is incidental to, or is an integral part of, an award-supported activity
- When the collection of information is a primary objective of the award, but such information is not intended primarily for use by the federal government, or a party designated by the federal government

When information is collected, according to either of the two conditions above, you may not represent what the information is being collected for, or in association with, unless:

- You receive awarding agency approval, and
- You follow OMB report clearance procedures, when required. When OMB approval is required, the awarding agency, rather than the recipient, will obtain the necessary clearance.

OMB clearance is required whenever the HHS awarding agency sponsors the use of a reporting form or plans to collect identical kinds of information or data from 10 or more people.

Information collection is considered HHS awarding agency-sponsored when any of the following circumstances exist:

- The awarding agency allows you to state that the information is being collected for, or in association with, the awarding agency.
- You use the report form or collect information that an awarding agency has requested for the planning, operation, or evaluation of its program.
- The award terms and conditions provide awarding agency approval of the study design, questionnaire content, or data collection procedure.
- The award terms and conditions provide for either submission of the data for individual respondents or the preparation and submission of special requested tabulations to the awarding agency.

HHS and OMB approval may also be required if the use of a report form or plan presents a relatively high risk of unwarranted privacy invasion.

Collection of the following types of information is not subject to the clearance requirements at 5 CFR § 1320:

- health professions data as described in Section 708 of the Public Health Service (PHS) Act
- tests or examinations of individuals for determining knowledge, abilities, or aptitudes, and the collection of information for identification or classification in connection with such tests
- information from patients to be used exclusively for research of or direct treatment of a clinical disorder; for the interpretation of biological analyses of body fluids, tissues, or other specimens; or for identification or classification of such specimens

See 5 CFR § 1320 for additional clearance requirement exemptions.

Remedies for Noncompliance

If you do not comply with award terms and conditions, the awarding agency or pass-through entity may take enforcement actions, in accordance with applicable statutes, regulations and policy.

You usually have an opportunity to correct the deficiencies unless there is a serious threat to public health or welfare concerns. The awarding agency may take necessary proactive steps to protect the federal government's interests. Awarding agencies may take any action allowed by law, including those below. See 45 CFR §§ 75.371-.380.

Implementation of Specific Award Conditions

An awarding agency or pass-through entity may place specific conditions on an award. The purpose is corrective. This remedy may be used if you:

- fail to comply with the terms and conditions of an award
- fail to meet expected performance goals

- are not otherwise responsible

When the awarding agency or pass-through entity imposes specific award conditions, they will notify you of:

- the nature of the conditions
- the reason why
- the type of corrective action needed
- the time allowed for completing corrective actions
- the method for requesting reconsideration of the conditions

Examples of specific award conditions are removing a PD/PI, converting your award from advance payment to reimbursement, and adding reporting requirements.

See 45 CFR § 75.207.

Disallowed Costs

HHS may disallow all or part of the cost of an activity or action determined not in compliance. This can happen at any time during the award or after closeout.

You must repay disallowed costs with non-federal funds or an offset from future year funds. You may appeal disallowed costs.

Other Remedies

Depending on the nature of the deficiency, an awarding agency also may:

- temporarily withhold payment
- withhold further awards for the project or program

Suspending Award Activities or Termination

Consistent with 45 CFR § 75.372(a), an awarding agency or pass-through entity may suspend, pending corrective action, or terminate all or part of your award activities pending your corrective action if you fail to materially comply with the award terms and conditions. See 45 CFR part 75 D – Remedies for Noncompliance.

The HHS awarding agency generally will suspend, rather than immediately terminate, a federal award. This allows you an opportunity to take appropriate corrective action before making the decision to terminate. The HHS awarding agency may decide to terminate the federal award if you do not take appropriate corrective action during the period of suspension.

Under a suspension, the HHS awarding agency will provide you:

- What project activities, if any, will take place during the period of suspension.
- What costs the HHS awarding agency will reimburse if the enforcement action is ultimately lifted and the award resumed.
- What corrective actions must occur during the enforcement action.

- The HHS awarding agency's intent to terminate the award if the non-federal entity does not meet the conditions of the enforcement action.

The HHS awarding agency may terminate without first suspending the federal award if the problem is serious enough or if public health or welfare concerns require immediate action. Termination for cause may be appealed under the HHS awarding agency and HHS's federal award appeals procedures.

A federal award also may be terminated, in whole or partially, by the recipient or by the HHS awarding agency with the consent of the recipient. If you decide to terminate a portion of a federal award, the HHS awarding agency may determine that the remaining portion will not accomplish the original purpose. In this case, you will be advised of the possibility of termination of the entire federal award and will be allowed to withdraw your termination request. If you do not withdraw your request for partial termination, the HHS awarding agency may terminate the entire federal award for cause. See 45 CFR § 75.372.

When an HHS awarding agency terminates a federal award prior to the end of the period of performance due to the non-federal entity's material failure to comply with the federal award terms and conditions, the HHS awarding agency must report the termination to the OMB-designated integrity and performance system accessible through the Responsibility/Qualification System in Sam.gov. This information will be reported after the non-federal entity has exhausted its opportunities to object or challenge the decision or has not within 30 calendar days after being notified of the termination informed the HHS awarding agency that it intends to appeal the decision to terminate. For full information on reporting termination in FAPIIS, see 45 CFR § 75.372(b).

HHS applies appeal rights in line with 45 CFR § 75.374. Appeals rights exist for termination actions that are a remedy for non-compliance.

Suspension or Debarment

An awarding agency may initiate suspension or debarment proceedings under 2 CFR part 180 and HHS awarding agency regulations at 2 CFR part 376. A pass-through entity may recommend that the awarding agency do so for a subaward.

Closeout

To close an award, you do several steps to include submitting a final report. Ask your GMS and review the closeout provisions HHS now follows at 2 CFR § 200.344. The awarding agency will resolve any amounts due to them or to you.

Upon the completion date of an award, you have 120 days to liquidate all financial obligations and submit all required reports, including a final FFR, final progress report, tangible and real property reports (if needed), and Final Invention Statement and Certification (if needed). The GMO or their delegate may give an extension upon a written request. Not submitting timely and accurate reports can affect future funding. HHS may close out your award on its own if you fail to provide your reports on time.

HHS may still disallow costs or recover funds based on an audit or review after your award is closed out. After closeout, you still have to return any funds due to HHS because of refunds, corrections, indirect cost rate adjustments, or other transactions.

You still need to account for property acquired on your award and follow disposition and record retention requirements after close out. HHS adopted two 2 CFR § 200 provisions about equipment and salary disposition:

- 2 CFR § 200.313(e) - Equipment: Increases from $5,000 to $10,000 the value of equipment that at the end of the grant period "may be retained, sold, or otherwise disposed of with no further responsibility to the Federal agency." The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.
- 2 CFR § 200.314(a) - Unused Supplies: Increases from $5,000 to $10,000 the value of unused supplies that recipients of Federal funds are required to sell at the end of the grant award period as well as clarifying that this amount is the total amount of remaining unused supplies, not just like items.

See 45 CFR §§ 75.317-323 for other disposition requirements. See 45 CFR §§ 75.361-75.365 for record retention requirements. Keep in mind the above changes in equipment and supply costs adopted by HHS in 2 CFR § 200.

Final Federal Financial Report (FFR)

A final FFR is required for all of the following:

- terminated awards
- awards transferred to new recipients
- awards at the end of a period of performance

Final FFRs must:

- account for all funds awarded during the period of performance
- have no unliquidated obligations
- say the exact unobligated balance

In some cases, you may need to submit a revised FFR. When a revised final FFR results in additional recipient claims, the awarding agency will consider approval if:

- You show why the revision is needed, explains, and implements internal controls to avoid similar future situations
- The charge is allowable under the award
- There is an unobligated balance for the budget period that can cover the claim
- The funds are still available

- The awarding agency receives the revised FSR within 6 months of its original due date

Final Progress Report

A final progress report is required for all of the following:

- terminated awards
- awards at the end of the performance period

Submit final progress reports as directed in your NoA.

Use the awarding agency instructions. At a minimum, they include:

- a summary of progress towards achieving the stated aims
- significant results, positive or negative
- publications

If you submit a competing continuation application, the final progress report requirement may be met by the information included in that application.

Final Invention Statement

For research awards, you must submit a Final Invention Statement and Certification (HHS 568). HHS requires this statement even if the award does not result in any inventions. The HHS 568 is at the iEdison Web site at iEdison | NIST.

The HHS 568 lists all inventions conceived or initially reduced to practice under the award. The form must be signed by the PI or PD and AOR. The form covers the period from the original award start date through the award end date. If there were no inventions, the form should indicate “None.”

Post-Closeout

After award closeout, you still have obligations for record retention, property accountability, and financial accountability. See 45 CFR §§ 75.317-.323 and 75.343.)

Record Retention and Access

You must keep financial, supporting, and statistical records, and all other records considered pertinent to an award.

The retention periods are three years after sending:

- the final FFR for closed awards
- quarterly or annual reports for awards renewed quarterly or annually

These periods are extended until the conclusion of any litigation matters, claims, or audits and audit findings are fully resolved.

You must allow records access to the:

- HHS Awarding Agency
- Inspector General
- Comptroller General
- Pass-through Agency

See:

- Retention requirements for records (45 CFR § 75.361)
- Access to records (45 CFR § 75.364)
- Restrictions on public access to records (45 CFR § 75.365)

Debt Collection

During or after closeout, HHS may find that you received more than the correct amount or that you misspent funds. This may result from disallowed costs, recovery of funds, unobligated balances, or other situations. In these cases, HHS will send you a request for repayment. Debts to HHS agencies are considered delinquent 30 days after you are notified. You have 90 calendar days to repay the amount.

If you do not pay back the funds in 90 calendar days, the HHS awarding agency may reduce your debt by:

- making an administrative offset against payments on other HHS awards
- withholding advance payments
- taking other action allowed by law

HHS must, by law, collect debts due to the federal government. Unless prohibited by law, HHS is also required to charge interest on delinquent debts.

See Collection of Amounts Due (45 CFR § 75.391) for more.

You may appeal a request for repayment. If appealed, HHS suspends the collection pending a final appeal decision. If denied, in whole or in part, HHS will charge interest on the debt starting with the date of the original request for repayment.

Refer to the HHS Claims Collection (45 CFR part 30) and the Program Support Center's Debt Management Collection System at https://pms.psc.gov/ for more on collection of debts.

Appeals

Awarding agencies may have their own appeals procedures. See also the procedures of the Departmental Appeals Board (45 CFR part 16).

Awarding agencies and recipients may use alternative dispute resolution (ADR). ADR can reduce the cost, time, and level of dispute involved in appeals.

For more information on appeals, see Opportunities to Object, Hearings, and Appeals (45 CFR § 75.374) and the Departmental Appeals Board website.

Single Audit

An audit is a review to verify if accounting and control systems reasonably assure:

- proper financial operations
- timely, fair, and correct financial reports
- compliance with applicable laws, regulations, and terms and conditions of award
- resources are managed and used economically and efficiently
- desired results and objectives are being achieved effective
- recipients and subrecipients follow the audit requirements of 45 CFR part 75, subpart F.

Audit Requirements

As of October 1, 2024, you and your subrecipients must have an audit if either spends $1,000,000 or more in federal awards during its fiscal year (see 2 CFR § 200.501). Even if an audit is not required, keep records available for review by federal officials.

You must use an independent auditor who must follow the Government Auditing Standards and the audit requirements in 45 CFR 75, subpart F. Audit costs are allowable and often covered by the indirect cost rate.

Pass-through entities are responsible for establishing audit requirements, to ensure compliance by subrecipients.

HHS may request more audits, if necessary.

Types of Audits

Program Specific Audit**:** test a single program. Refer to 45 CFR § 75.507.

- Single Audit: The auditor uses a risk-based approach to identify major programs which the auditor tests and provides an opinion on compliance. See 45 CFR part 75, subpart F.
- Financial Related Audit: Specific to for-profit organizations. Must be conducted in accordance with the Government Auditing Standards.

Audit Options

If an audit is required, the following options are available:

For Governments, Indian Tribes, Institutions of Higher Education, and Non-Profits

- Only one program: If federal awards are expended in only one program, the program-specific audit is an option.
- Multiple programs: If federal awards are expended from more than one program, a single audit is required.

For-Profit Organizations

- Only one program: If federal awards are in only one program, then they may opt for a program-specific audit or financial related audit of the award.
- Multiple programs: If federal awards are in more than one program, then they must have a single audit or financial related audit of all awards.

Contractors

Audit requirements for federal awards do not apply to contractors with annual HHS awards less than $1,000,000. See 2 CFR § 200.501.

Foreign Entities

Audit requirements and processes for foreign entities will be addressed in your NOFO and NoA.

Recipient Responsibilities

- Procure or otherwise arrange for the required audit and make sure it is performed properly. See 45 CFR § 75.509.
- Provide the auditor with access to needed personnel, accounts, books, records, supporting documentation, and other information.
- Prepare financial statements, including the schedule of federal award expenditures. See 45 CFR § 75.510.
- Make sure the audit is submitted within 9 months after your fiscal year end. See 45 CFR § 75.512.
- Promptly follow up and take corrective action on audit findings.

See 45 CFR § 75.508 for a listing of auditee responsibilities.

Audit Findings and Resolution

Non-Federal entities and their subrecipients must follow up and take corrective action on all audit findings. This includes preparing:

- a summary schedule of prior audit findings. See 45 CFR § 75.511(b).
- a corrective action plan. See 45 CFR § 75.511(c).

Requirements

The summary schedule and the corrective action plan must include:

- reference numbers the auditor assigns to audit findings under 45 CFR § 75.516(c)
- the fiscal year in which the finding initially happened
- findings relating to the financial statements required to be reported under Government Auditing Standards

See 45 CFR § 75.511.

Report Submission

Reports for non-profit recipients are submitted to the Federal Audit Clearinghouse (FAC). For-profit and foreign recipients submit reports to ARD or the Centers for Disease Control (CDC) (if CDC is the awarding agency).

The HHS assignment system receives single audit reports from the FAC and assigns audit findings to the awarding agencies for resolution.

Both you and your auditors must complete and submit your portions of the reporting package to FAC. They are due within 30 calendar days after receipt of the auditor's report or nine months after the end of the auditee's fiscal year.

See 45 CFR § 75.512.

Delinquent Audits

HHS will follow up to obtain audit reports that are delinquent.

If required audits are not completed or do not follow 2 CFR part 200 and 45 CFR part 75, audit costs may be disallowed or other sanctions may be taken.

HHS Office of Inspector General

The HHS Office of Inspector General (OIG) audits programs and their recipients to ensure funds are used correctly and guard against fraud and waste. The OIG:

- can freely access records and information
- can request information and documents through subpoenas
- acts as the National Single Audit Coordinator, giving audit guidance to HHS agencies and recipients

You need to have strong internal controls and guidelines must be in place to ensure proper use of federal funds.

Documentation

Ensure that the basis for valuing services, materials, equipment, buildings, and land can be verified. Make sure your records, including those from your subrecipients, can support the value. If using volunteer services, document their time and attendance as you would for regular employees.

Additional Information

Cooperative Audit Resolution and Management Decisions

Cooperative audit resolution is a structured approach that brings the appropriate stakeholders together to address audit findings and proposed corrective actions. Non-federal entities must follow this approach to ensuring timely and appropriate resolution of audit findings and recommendations. The non-federal entity must initiate and proceed with corrective action as quickly as possible and corrective action should begin no later than upon receipt of the audit report.

The HHS awarding agency will coordinate with the non-federal entity during the cooperative audit resolution process. The HHS awarding agency will:

- Follow-up on audit findings to ensure the non-federal entity takes appropriate and timely corrective action.
- Issue a management decision, on all assigned reporting packages with audit findings within six months of the date the FAC accepts the reporting package.
- Issue sanctions when the non-federal entity fails to correct conditions identified by audits that are likely to cause improper payments, fraud, waste or abuse.

The HHS awarding agency or pass-through entity responsible for issuing a management decision must do so within 6 months of acceptance of the audit report by the FAC. The management decision provides timely information to the non-federal entity regarding where the HHS awarding agency is in evaluating findings and related corrective actions. The HHS awarding agency management decision will include:

- whether or not the audit finding is sustained
- the reasons for the decision
- the expected action the non-federal entity must take to repay disallowed costs, make financial adjustments, or take other action
- a timetable for follow-up if then non-federal entity has not completed corrective action
- a description of the appeal process available to the non-federal entity

Appendix A: Awarding Agencies Overview

Below is an overview of HHS awarding agencies. Visit HHS Organization Chart | HHS.gov for more.

GPS refers to "Public Health Service (PHS) agencies." We have marked them below.

Agency	Overview	Support
Administration for Children and Families (ACF) www.acf.hhs.gov	Promotes economic and social well-being of children, families, and communities.	• childcare for low-income families • foster care and adoption • child abuse and domestic violence prevention
Administration for Community Living (ACL) www.acl.gov	Advocates for older adults, people with disabilities, families, and caregivers to help all people live independently and participate in their communities.	• health, wellness, and nutrition • self-advocacy • connecting people to services • retirement planning • American Indian, Alaska Native, and Native Hawaiian nutrition and older adult support
Agency for Healthcare Research and Quality (AHRQ) www.ahrq.gov PHS agency	Improves quality, safety, accessibility, equitability, and affordability of US health care.	• digital healthcare research • PSNet (Patient Safety Network) • quality indicators
Administration for Strategic Preparedness and Response (ASPR) www.aspr.hhs.gov	Assists the country in preparing for, responding to, and recovering from public health emergencies and disasters.	• development and stockpiling of medical countermeasures • pandemic preparedness
Assistant Secretary for Technology Policy/Office of the National Coordinator for Health Information Technology (ASTP) www.healthit.gov	Administers health IT efforts and is a resource to the entire health system to support the adoption of health information technology and the promotion of nationwide, standards-based health information exchange to improve health care.	• advance development and use of health IT capabilities • establish expectations for data sharing
Centers for Disease Control and Prevention (CDC) www.cdc.gov PHS Agency	Protects against health and public health, safety, and security threats. Their focus is both foreign and domestic.	• immunization services • monitoring and preventing disease outbreaks • disease prevention strategies • workplace safety

Centers for Medicare & Medicaid Services (CMS) www.cms.gov	Advances health equity, expanding coverage, and improving health outcomes.	• clinical standards and quality • minority health equity • meaningful measures
Food and Drug Administration (FDA) www.fda.gov FDA Grants and Cooperative Agreements Page PHS Agency	Protects public health by ensuring the safety of human and veterinary drugs, biological products, medical devices, cosmetics, and food.	• food safety • animal feed safety • laboratory systems • scientific conferences
Health Resources and Services Administration (HRSA) www.hrsa.gov PHS Agency	Provides access to essential health care services for people who are low-income, uninsured, or live in areas with limited access.	• rural health • maternal and child health • opioid response • health workforce training • telehealth
Indian Health Service (IHS) www.ihs.gov PHS Agency	Ensures comprehensive, culturally appropriate personal and public health services are available to American Indians and Alaska Native people.	• community health • behavioral health • environmental stability • school health
National Institutes of Health (NIH) grants.nih.gov PHS Agency	Seeks knowledge about the nature and behavior of living systems. Applies it to enhance health, lengthen life, and reduce illness and disability.	• biomedical and behavioral research • research training • research infrastructure and communications
Office of the Assistant Secretary (OASH) www.hhs.gov/ash PHS Agency	Seeks to serve the public through responsive public health actions to promote healthy and safe environments and prevent harmful exposures.	• minority health • family planning • adolescent health • women's health • infectious disease and HIV/AIDS policy • research integrity
Office of the Inspector General (OIG) www.oig.hhs.gov	At the forefront of the Nation's efforts to fight waste, fraud and abuse and to improving the efficiency of Medicare, Medicaid and more than 100 other Department of Health & Human Services (HHS) programs.	• Medicare/Medicaid oversight • improved efficiency • fraud, waste, abuse detection

Substance Abuse and Mental Health Services Administration (SAMHSA) www.samhsa.gov PHS Agency	Improves the quality and availability of substance abuse prevention, addiction treatment, and mental health services.	• substance abuse and mental health services.

For awarding agency staff and recipient roles and responsibilities, see the Introduction and General Information section.

Appendix B: Abbreviations and Glossary

Abbreviations

Please see abbreviations listed in 45 CFR part 75. The abbreviations are used by the HHS Financial Assistance Community. Although not all of the terms are in the GPS, they may be useful to applicants and recipients.

Glossary

This glossary defines terms commonly used in the HHS GPS. These definitions are for purposes of clarity and do not replace controlling definitions in applicable statutes and regulations.

acquisition cost	The total invoice price of items, counting costs for changes or accessories or additions to make them work for their intended use. Costs like setup, shipping, taxes, and insurance can be included or excluded based on the recipient's usual accounting methods. The term doesn't cover rental or property modification costs.45 CFR § 75.2 Acquisition cost
accrual basis	Accrual accounting records revenue and expenses when the transaction happens, not when money is paid.
administrative requirements	Common practices in managing awards like financial accountability, reporting, equipment management, and records retention.
advance payment	A payment made to a recipient before they spend the money or based on set payment schedules. 45 CFR § 75.2 Advance payment
allocable cost	An allocable cost relates to a specific project or activity based on the relative benefits it provides. It's allocable to a federal award if: • It's specifically for the award. • It benefits both the award and other tasks, and can be distributed based on those benefits. • It's needed for the organization's overall functioning. 45 CFR § 75.405 Allocable costs
allowable cost	Allowable costs are: • Reasonable for the award's purpose. • Allocable. • Within the federal cost principles or NoA guidelines. • In line with the recipient's consistent policies, covering both federal and non-federal activities. • Consistently treated as either a direct or indirect cost. • Based on standard accounting principles. • Not used in another federal award, unless statute says otherwise. 45 CFR § 75.403 Factors affecting allowability of costs

alteration and renovation (A&R)	Alteration and renovation involve changing the inside or features of a facility or installed equipment to enhance its current use or adapt it for a new purpose. It can include improvements, remodeling, or modernization but is different from construction or major permanent upgrades.
alternative dispute resolution (ADR)	A method to solve disagreements without going to court. It aims to resolve issues faster, cheaper, and in a less confrontational way, preventing them from becoming bigger problems that need formal legal action.
applicable credit	Receipts that offset or reduce direct or indirect costs. Typical examples include purchase discounts, rebates, or allowances; recoveries or indemnities on losses; insurance refunds; and adjustments of overpayments or erroneous charges. 45 CFR § 75.406 Applicable credits
application	A request for financial support of a project or activity submitted on specified forms and in accordance with awarding agency instructions. See Types of Applications.
approved budget	The spending plan for a project funded by an award. This budget has both federal funds and, if applicable, non-federal funds like cost-sharing. If both types of funds are in the budget, the recipient must spend them in the same ratio as they appear in the total budget. See also 45 CFR § 75.2 Budget
assurance	A written statement by an applicant, normally included with the application, that it will follow a particular requirement if there is an award.
audit resolution	The process of resolving audit findings, including those related to management and systems deficiencies and monetary findings like questioned costs. See also 45 § CFR 75.2 Cooperative audit resolution.
award	The document that provides the awarding agency funds to a recipient to carry out an approved project, based on an approved application. In the GPS, award means both grants and cooperative agreements. 45 CFR 75.2 Federal award
awarding agency	The agency responsible for making, monitoring, and overseeing awards. For changes in award terms or for approval requests, the reference may be to the GMS. See also 45 § CFR 75.2 Federal agency.
award-supported project	Activities described in an application or in a subsequent submission that are approved by an awarding agency for funding, even if federal money isn't the sole financial support for them.
award terms and conditions	The legal requirements set by the awarding agency for the award. These can come from laws, regulations, policies, or the NoA. The NoA might also add specific conditions to ensure the award's goals are met, enable post-award management, save funds, or protect federal interests.
budget periods	The period of time (usually 12 months each) into which a period of performance is divided for budgetary and funding purposes. Funding of individual budget periods sometimes is referred to as “incremental funding.”

carryover	Unspent federal funds from a particular budget period that can be transferred and used in the next budget period used to cover allowable expenses in that subsequent period. Funds that have been committed but not yet spent (obligated but unliquidated) are not classified under carryover.
cash basis	An accounting method in which revenue and expenses are recorded on the books of account when received and paid, respectively, without regard to the period in which they are earned or incurred. It is different than accrual basis.
change of recipient	Transfer of the legal and administrative responsibility for an award from one legal entity to another before the end of the period of performance.
closeout	The process used by an awarding agency to determine whether all administrative actions and work required under the award have been completed by the recipient and the awarding agency. 2 CFR § 200.344
cognizant agency	The federal agency that, on behalf of all federal agencies, reviews, negotiates, and approves cost allocation plans, indirect cost rates, and similar rates. They monitor non-federal audit reports; conduct federal audits as necessary; and resolve cross-cutting audit findings. The cognizant agency under applicable cost principles and under 45 CFR part 75, subpart F may be different for a given recipient. 45 CFR § 75.2 Cognizant agency for indirect costs
competition	A process in which applications undergo a merit review and are evaluated against established evaluation criteria in the NOFO.
completion date	The date on which all work under an award is completed or the date in the NoA (as amended) on which federal sponsorship ends (i.e., the end of a period of performance).
consortium agreement	A formal agreement whereby a project is carried out by a recipient and one or more other organizations that are separate legal entities. Under the agreement, the recipient must perform a substantive role in the conduct of the planned project and not merely serve as a conduit of funds to another party or parties. Consortium agreements are considered subawards.
contract under an award	A written agreement between a recipient and a third party to acquire commercial goods or services. 45 CFR § 75.2 Contract
construction	A project to support the initial building or major alteration and renovation like large-scale modernization or permanent improvement of a facility.
consultant	An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. Also includes a firm that provides paid professional advice or services.
cooperative agreement	A financial assistance support mechanism used when there will be substantial federal programmatic involvement. Substantial involvement means that the awarding agency's program staff will collaborate or participate in project or program activities as specified in the NoA. 45 CFR § 75.2 Cooperative agreement

copyright	Protection provided by statute (Title 17, U.S. Code) to the authors of "original works of authorship," including literary, dramatic, musical, artistic, and certain other intellectual works, including computer programs. This protection applies to both published and unpublished works.
cost analysis	The systematic review of a budget proposal to: • Detail and assess cost components. • Ensure costs are necessary, reasonable, and allocable. • Confirm alignment with federal guidelines, ensuring no unallowable expenses.
cost sharing	See "matching or cost sharing."
Departmental Appeals Board	The DAB is a board within HHS that impartially addresses disputes from HHS assistance programs. It offers a fair hearing process for challenges to certain grants management decisions, with its role and rules outlined in 45 CFR part 16. 45 CFR § 75.2 Departmental Appeals Board
direct costs	Costs directly linked to a specific project, instructional activity, or other institutional activities, which can be accurately and easily allocated to those activities. 45 CFR § 75.413 Direct costs
domestic organization	A U.S.-based public or private entity, subject to U.S. laws, responsible for the legal and financial management of awarded funds and the execution of the supported activities.
Entity Identification Number (EIN)	A 12-character code in PMS comprising three parts: the first character indicates if the recipient is an organization or individual; the following 9 characters represent the TIN for organizations or the SSN for individuals; the final 2 characters differentiate between organizational entities with the same or multiple EINs, denoting subsidiaries, branches, or other subdivisions.
equipment	A tangible item with a lifespan exceeding 1 year and a cost of $5,000 or more per unit, or below the recipient's capitalization threshold, whichever is lower. 2 CFR § 200.1 Equipment
excess property	Property that, as decided by the head of the awarding agency or its representative, is no longer needed for the agency's functions or responsibilities. 45 CFR § 75.2 Excess property
exempt property	Tangible personal property bought either entirely or partly with federal funds, where the awarding agency has the legal authority to vest title to the recipient without additional obligations to the federal government. 45 CFR § 75.319 Federally owned and exempt property
expanded authorities	Permissions granted to recipients that eliminate the need for prior approval from the awarding agency for certain activities.
expiration date	The specified date in the NoA marking the conclusion of the current budget period, beyond which the recipient is not authorized to obligate award funds.

facilities and administrative costs (F&A)	See indirect costs
federal institution	A Cabinet-level department or independent agency within the executive branch of the federal government, or any of its sub-entities.
federal share	The proportion, usually expressed as a percentage of the total project costs, that represents the financial and other direct contributions provided by the awarding agency, as detailed in the NoA. 45 CFR § 75.2 Federal share
fee	A sum paid beyond the actual allowable costs to an entity delivering goods or services in line with standard commercial practice, often referred to as "profit."
financial assistance	The provision of funds, property in place of funds, or other direct aid to a qualified recipient to encourage or further a public purpose authorized by law.
foreign component	The execution of a major part or component of a project outside the United States by the recipient or by a researcher affiliated with a foreign institution, regardless of whether award funds are used.
foreign organization	An entity situated in a country outside of the United States and its territories, governed by the laws of that nation, regardless of the nationality of the proposed Principal Investigator/Project Director. 45 CFR § 75.2 Foreign organization
for-profit organization	A legal entity formed for the purpose of generating profit for its shareholders or owners. This type of organization is also known as a "commercial organization." See also 45 § CFR 75.2 Commercial organization.
grant	A funding mechanism given to an eligible entity to support a public-purpose project or activity without significant involvement from the awarding agency. Unlike direct benefits for the government, a grant provides financial assistance or other resources to accomplish approved objectives. See also 45 § CFR 75.2 Grant agreement.
high risk	A recipient with a history of subpar performance, financial instability, or inadequate management, placing them at risk of financial or operational failure.
human subject	An individual from whom an investigator collects data via intervention, interaction, or acquisition of identifiable private information, including organs, tissues, body fluids, or any related graphic or recorded details. Regulations govern the use of human subjects.
Indian tribal government	The governing body overseeing an Indian tribe, group, or community, including Alaska Native villages per the Alaska Native Claims Settlement Act of 1971. This body is recognized by the Secretary of the Interior for access to specific programs and services via the Bureau of Indian Affairs and the Indian Health Service. See also 45 CFR § 75.2 Indian tribe.

indirect costs	Costs incurred by a recipient for shared purposes and not tied to a specific project or program. They are also referred to as "facilities and administrative costs." 45 CFR § 75.2 Indirect (Facilities and Administration or F&A) costs
institutional review board (IRB)	A committee that safeguards the rights and well-being of human subjects in research. The IRB can approve, modify, or disapprove research activities under its jurisdiction.
intangible property	Property without physical form, such as copyrights, patents, and other intellectual property rights acquired under awards. It also encompasses loans, notes, leases, stocks, and other ownership instruments. However, intellectual property created, rather than purchased, under awards is excluded.45 CFR § 75.2 Intangible property
international organization	An organization with members from multiple countries, representing their interests, regardless of whether its headquarters or activities are located within or outside of the US.
invention	A potentially patentable or protectable discovery or invention made by an awardee during work funded by a contract, grant, or cooperative agreement. The term "subject invention" refers to inventions specifically conceived or first reduced to practice as part of the funded work.
key personnel	The PI/PD and other individuals who contribute to the programmatic development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the award.
local government	A local government entity such as a county, city, town, township, school district, or council of governments, among others. This includes regional or interstate government entities and local public authorities, but excludes institutions of higher education and hospitals. 45 CFR § 75.2 Local government
matching or cost sharing	The value of non-federal contributions to a federally assisted project, including third-party in-kind donations. These costs must adhere to the same allowability policies as other costs in the approved budget. 45 CFR § 75.2 Cost sharing or matching
merit review	An unbiased evaluation of discretionary applications by experts in the relevant field. Also known as objective review. See also 45 CFR § 75.204 HHS funding agency review of merit of proposals.
monitoring	A method of evaluating an award's programmatic and business management performance using data from reports, audits, site visits, and other sources.
non-competing extension	An additional timeframe beyond the original period of performance, granted by the awarding agency or recipient (under expanded authority), to finalize project activities.
non-federal share	The portion of allowable project costs not borne by the Federal government.
notice of funding opportunity (NOFO)	An official announcement from the awarding agency that outlines the availability of federal funds for a specific program. This announcement invites applications and provides essential details such as eligibility requirements, evaluation criteria, and guidelines for application preparation and submission.
objective review	See merit review.

obligations	The value of commitments made by a recipient during a budget period for orders, contracts, subawards, and received goods and services, that will need payment within the current or later budget periods. 45 CFR § 75.2 Obligations
outlays or expenditures	The charges made to the federally sponsored project or program. They may be reported on a cash or accrual basis. 45 CFR § 75.2 Expenditures
patent	A property right awarded by the federal government that grants the right to exclude others from making, using, or selling the invention for a period of years.
peer review	A method of evaluating the merit of applications based on assessment by individuals of equal scientific or technical expertise (peers). This review ensures that applications meet high scientific or technical standards, as determined by experts in the relevant field.
period of performance	The total time for which support of a project has been programmatically approved. 45 CFR § 75.2 Period of performance
pre-award costs	Costs incurred before the official start date of an award, expected to be covered by the award but undertaken at the applicant's own risk, given there's no guarantee of reimbursement unless later approved. 45 CFR § 75.209 Pre-award costs
prior approval	Written approval from the awarding agency's CGMO, or their delegate, granted in response to a recipient's request, to incur a specific cost or action requiring such approval. If these costs/actions are detailed in an application, the award's issuance based on that application serves as the authorization. For indirect cost components, prior approval must come from the relevant agency or as per the associated cost principles. 45 CFR § 75.2 Prior approval
profit	See fee
program income	Income directly produced by a project, program, or activity funded by the award, or earned due to the award. 45 CFR § 75.2 Program income
progress report	Regularly submitted reports, typically annually, from the recipient to the awarding agency to evaluate progress and determine funding for the next budget period, excluding the final report.
real property	Land, including land improvements, structures, and appurtenances, but not movable machinery and equipment. 45 CFR § 75.2 Real property
recipient	The entity or individual awarded a grant or cooperative agreement by the awarding agency. They are accountable for the funds and the execution of the project or activity. Even if a specific component is mentioned in the NoA, the recipient refers to the complete legal entity. 45 CFR § 75.2 Recipient
reimbursement	A payment made to a recipient upon its request after it makes cash disbursements.

research	A comprehensive study aimed at expanding knowledge or addressing a specific need. It involves the application of knowledge to produce materials, devices, systems, or methods, including the design and enhancement of prototypes and processes. Often referred to as "research and development." 45 CFR § 75.2 Research 45 CFR § 75.2 Research and Development (R&D)
research patient care	Standard and supplementary hospital services given to research participants. The expenses for these services are typically allocated to individual research projects using established research patient care rates.
subaward	Financial assistance given as money or property under an award by a recipient to a qualified subrecipient (or by a subrecipient to a lower-tier subrecipient). This aid can be provided through any legal agreement, even if termed a contract, but excludes procurement of goods/services or any assistance other than grants and cooperative agreements. Consortium agreements are included. 45 CFR § 75.2 Subaward
subrecipient	An entity that receives a subaward from a recipient or another subrecipient under a financial assistance award and is responsible to that recipient or subrecipient for the proper use of the federal funds provided by the subaward. 45 CFR § 75.2 Subrecipient
substantive programmatic work	The primary project activities for which award support is provided.
supplies	Tangible items that are not classified as equipment, intangible property, or debt instruments. While some items in the "supplies" category might resemble equipment, they don't meet the specific criteria or cost threshold to be categorized as such. 2 CFR § 200.2 Supplies
suspending award activities	A temporary halt on a recipient's ability to use award funds until they take corrective action as directed by the awarding agency or until the agency decides to end the award. This definition of "suspension" is distinct from its use in the context of debarment and suspension procedures. 45 CFR § 75.2 Suspension of award activities
tangible personal property	Tangible assets including equipment and supplies, excluding intangible property like intellectual property.
termination	The awarding agency's permanent removal of a recipient's right to commit previously granted funds before the initial authority ends, which can include the recipient willingly giving up that right. 45 CFR § 75.2 Termination
total project costs	The total allowable costs (both direct and indirect) that the recipient incurs to carry out a project supported by the award. This includes costs billed to the award itself and costs that the recipient covers as part of a matching or cost-sharing agreement. 45 CFR § 75.2 Total Costs

unallowable cost	A cost specified by law or regulation, federal cost principles, or term and condition of award that may not be reimbursed under a grant or cooperative agreement.
unliquidated financial obligations	If using a cash basis, the amount of obligations made by the recipient that have yet to be paid. If using an accrual basis, the sum of obligations made by the recipient for which a disbursement or expense hasn't been recorded. 45 CFR § 75.2 Unliquidated obligations
unobligated balance	The amount of the funds authorized by the federal agency that the recipient has not obligated. 45 CFR § 75.2 Unobligated balance
vertebrate animal	Any live animal having a backbone or spinal column used or intended for use in research, research training, experimentation, biological testing, or related purposes.
withholding cash payment	The awarding agency, after following necessary steps, limits a recipient's access to funds until they make the needed corrections.

Appendix C: Post-Award Considerations by Type of Program, Activity, or Recipient

Services Provided by Affiliated Organizations

Universities and other organizations (parent organizations) sometimes create affiliated organizations.

The parent organization often provides considerable support services. These include administration, facilities, equipment, accounting, and other services. The affiliated organization includes the costs of these services in its indirect cost proposal.

In some cases, the awarding agency may reimburse these costs. This happens only when the affiliated organization satisfies any of the following:

- It is charged for, and must legally pay for, the costs.
- It is subject to state or local law that sets out how to spend the federal reimbursement and a state or local official approves the expenditures.
- A formal agreement allows the affiliated organization to keep the related federal reimbursement. The parent organization may direct the expenditure of the funds or allow the affiliated organization to decide.

If these conditions don't apply, the awarding agency cannot reimburse the costs. However, the services may be acceptable for cost-sharing purposes.

Data Sharing for Research and Demonstration Projects Considerations

Expectations

Sharing data and research tools is important to quickly turn research into useful products and knowledge to improve human health. This includes things like cell lines and software. Also sharing information about demonstration projects helps others use and duplicate projects. If you are an NIH recipient, reminder to please go to the NIH GPS at:
https://grants.nih.gov/grants/policy/nihgps/nihgps.pdf

HHS encourages researchers to share their findings promptly.

If you enter into subawards, including consortium agreements, and you want access to third-party data or research tools, include a provision in the third-party agreement. There may be times the HHS awarding agency requires you to do so They can also access third-party data or tools. Please check the NoA.

You must also share copies or samples of materials developed under the award. You can charge a small fee for shipping and handling these items. Any income earned from this is considered program income.

If you think you can't meet these expectations, talk to the GMS before getting an award.

Timely Release of Research Data and Tools

Investigators should share their final research data and tools either when their main findings are accepted for publication or when they submit findings to the awarding agency. This ensures timely sharing.

Protection of Certain Data

HHS knows data sharing can be complicated due to various rules and laws, including the HIPAA Privacy Rule, Human Research Protections, and others. We must always protect the privacy of project participants and their data.

For wider use, data must not include any indicators that could reveal the identity of individual participants. Researchers need to ensure that data from human cells or tissues also can't reveal the identity of the original donors.

Researchers can share materials through their lab or organization or submit them to a repository. They should send unique biological data, like DNA sequences, to the appropriate data banks. When sharing unique resources, investigators must provide details about the nature, quality, or characterization of the materials.

Conference Awards

If you have questions about conference awards or what's allowed under your award, ask your GMS.

Here are definitions and details about costs related to conference awards:

- Conference: Events like meetings, retreats, or seminars that share technical information. They must be necessary and reasonable for the award's success.
- International conference: A meeting open to attendees from at least two countries other than the U.S. or Canada. It can be anywhere, even in the U.S. But, if it's outside the U.S. or Canada, award funds can't cover general support. They can cover specific parts, like a workshop or panel.
- Domestic conference: A meeting in the U.S. or Canada mainly for attendees from these two countries. Award funds can support these conferences, whether they're domestic or international.

Equity in Representation

For HHS-supported meetings, ensure diverse participation. Recipients of HHS financial assistance awards must make sure all those eligible for the HHS funded project are able to participate and receive the benefits from the project. When administering HHS-funded meetings, programs, activities, projects, assistance, and services, the recipient must make sure no one able to participate is discriminated against, to the extent doing so is prohibited by Federal statute. Please see 45 CFR § 75.300 and Advancing Equity at HHS for more information.

Funding Requirements

The NoA will include any specific requirements. A change in conference focus is a change in scope and needs prior approval.

Acknowledgment of Support and Disclaimer

All conference materials, like agendas or media promotions, must mention HHS support, whether in whole or in part. Refer to Appendix D for the exact wording of this acknowledgment.

If you're releasing a press statement about activities supported by an HHS award, inform the awarding agency beforehand to coordinate, which may include a review of mate

Allowable and Unallowable Costs and Activities

Please refer to 45 CFR part 75, subpart E, your NOFO/NoA, and the HHS awarding agency.

Other Cost Considerations

If you don't have a written travel policy, follow the Federal Travel Regulation. Always adhere to the U.S. foreign travel restrictions in place at the time, which may include restrictions on countries or limits on funds for travel.

When attending a conference:

- Only claim per diem for days you attend and the actual travel time, taking the most direct route.
- Local travel costs can be covered for local attendees only.
- If meals or lodging cost are nominal or free, like within a registration fee, adjust your per diem accordingly.
- Travel costs shouldn't exceed coach fares. Always choose U.S. carriers when possible.

Intellectual Property: Publications, Copyright, and Public Disclosure

If you publish something using HHS funds, you can distribute it for free. If you sell it, the money earned is considered program income and should be reported as directed in your NoA and on the FFR. More details can be found in the Program Income section of the GPS Program section After the Award.

You can seek copyright for publications from an HHS-supported conference unless your award says otherwise. However, HHS still has rights to the materials, as mentioned in the Irrevocable and the Royalty-Free License GPS section After the Award.

Construction and Modernization of Facilities Awards

Applicability and Definitions

Note that construction and modernization activities must be allowed by law; that law may provide more specifics about allowable construction and modernization activities. However, as a general matter, this section applies to the following HHS award-supported activities:

- Construction: constructing a new building, structure, or facility that provides new space. It also includes installing fixed equipment in such space. It excludes purchasing land and ancillary improvements like parking lots, roads, or fencing. Constructing shell space is not allowed as a construction activity as it does not provide usable space.
- Modernization: altering, renovating, remodeling, improving, expanding, or repairing an existing building. Also includes completing existing shell space. Activities must make the building suitable for the purposes of a particular program. This can include space used for storage or by people. It can range from updating flooring to replacing everything except for the existing frame and foundations. If the main award purpose is modernizing a biomedical research facility, the award can't also support research.
- Alteration and renovation (A&R) activities: These are modernization activities and can be under research awards where the primary purpose of the award is other than construction or modernization.

Refer to the NoA for additional related requirements.

Allowable and Unallowable Costs and Activities

This section outlines costs and activities generally allowable and unallowable under construction awards. (The final decision is based on the decision of the HHS awarding agency and the program.)

These policies apply to the use of federal funds and cost sharing or matching funds. The lists are not all-inclusive. Consult program guidelines and award terms and conditions for specific costs allowable under a program or award.

Allowable Costs and Activities

- Acquisition and installation of fixed equipment.
- Architectural and engineering services.
- Bid advertising.
- Bid guarantees and performance and payment bonds as provided in 45 CFR § 75.334.
- Contingency funds for unanticipated charges included in the initial cost estimates for construction contracts. Before you receive bids, the budgeted amount can't exceed five percent of expected construction costs. You must reduce it to not more than two percent after you award a construction contract.
- Filing fees for recording the Notice of Federal Interest (NFI).
- Force accounts to provide funding for your own construction and maintenance staff used in carrying out modernization activities. These are allowable if you can document that a force account is less expensive than if you were to competitively bid the work. You must substantiate costs with receipts for the materials and certified labor pay records. Use of a force account requires awarding agency prior approval.

- Compliance with the National Historic Preservation Act. This can include:
- hiring special consultants to research and document the historic value of proposed performance sites
- costs to prepare and present required materials to inform the public and others.
- Incentive costs for contractors consistent with contract type as specified in the solicitation of bids or proposals and in the contract. Incentive costs must be reasonable and documented, including that conditions to earn the incentive were met. Incentive-type contracts may also contain a penalty provision. Other types of bonus payments are not allowable.
- Inspection fees.
- Insurance costs of title insurance, physical-destruction insurance, and liability insurance are generally allowable. Physical destruction and liability insurance are usually treated as F&A costs. However, you can treat it as a direct cost if your established policy does so and you consistently do so. You may charge title insurance, if required, to the award in proportion to the amount of awarding agency participation in the property. See Real Property —Insurance.
- Legal fees related to obtaining a legal opinion about title to a site.
- Relocation expenses.
- Sidewalks necessary for use of facility.
- Site clearance costs are allowable if reflected in the bid.
- Site survey and soil investigation costs.
- NEPA analysis costs to evaluate the environmental effects and produce the Environmental Impact Statement (EIS).
- Pre-award costs for architect and consultant fees needed for planning and design are allowable if the project is later approved and funded.
- Project management costs.
- Threat-risk assessment costs for a site-specific or project-specific assessment of security risk by a qualified professional. The threat-risk assessment identifies and quantifies potential threats, both internal and external to the building, its contents, the personnel working in it, and the general public. The analysis also includes examination and evaluation of the physical aspects of the proposed facility, along with operational issues.

Unallowable Costs and Activities

- Bonus payments other than earned incentive payments to contractors under formal incentive arrangements.
- Construction of shell space designed for completion at a future date.
- Consultant fees not related to actual construction.
- Damage judgment suits.
- Equipment purchased through a conditional sales contract.

- Indirect/F&A costs.
- Fund-raising expenses.
- Land acquisition.
- Legal services not related to site acquisition.
- Movable equipment.
- Off-site improvements such as parking lots.

Prior-Approval Requirements

You must get awarding agency prior approval for the following types of project or budget changes:

- Any applicable changes as specified in the Prior Approvals section of the GPS.
- Change in the use of the facility. See Use of Facility and Disposition in this section.

You must provide enough details in your approval request to explain why you need the change. Once approved, you can make the changes. For smaller changes to construction contracts, you don't need prior approval. But keep copies of all changes as part of your award records.

Procurement Requirements

Construction activity usually is conducted through one or more contracts. All such procurement must use the methods described in 45 CFR §§ 75.327 through 75.335, as applicable.

Equal Employment Opportunity, Labor Standards, and Other Contract Requirements

You must provide equal employment opportunity and labor standards requirements for federally assisted construction and modernization to potential bidders/offerors and include them in the resulting contract. See 45 CFR part 75, Appendix II (C) and 41 CFR chapter 60. The Davis-Bacon Act or the Copeland "Anti- Kickback" Act apply only if specifically required by the program's authorizing statute. The NoA will show if they apply.

Equal Employment Opportunity Requirements

Construction contracts (and subcontracts) awarded under HHS awards must follow the requirements of EO 11246 and implemented in 41 CFR § 60-1. Recipients must:

- Include the "Equal Opportunity Clause" at 41 CFR § 60-1.4(b) in any construction contract under the award. You must direct the contractor to include this clause in any applicable subcontracts.
- Follow solicitation and contract requirements for affirmative action specified in 41 CFR § 60-4 for contracts in specified geographical areas that will exceed $10,000. These requirements are specified in EO 11246.
- Notify the Office of Federal Contract Compliance Programs regional, area, or field office when you expect to award a construction contract over $10,000.

Labor Standards Requirements

- Under EO 13202, as amended by EO 13208, you must ensure that bid specifications, project agreements, or other controlling documents for construction services contracts:
- Ensure that bidders, offerors, contractors, or subcontractors are able and willing to enter into or adhere to agreements with one or more labor organizations on the same or other related construction projects.
- Refrain from discrimination against bidders, offerors, contractors, or subcontractors for initiating, refusing to initiate, or adhering to agreements with one or more labor organizations, on the same or other related construction projects.

Under 41 CFR § 60-1.8, segregated facilities are not permitted for any contract for construction services that will exceed $10,000. The recipient must require each prospective contractor to submit a certification that the contractor:

- Maintains all facilities provided to employees in a non-segregated manner
- Prohibits its employees to perform services at any location, under the contractor's control, that maintains segregated facilities
- Obtains a similar certification before awarding any covered subcontract

Awards, contractors, and subcontractors with construction contracts or subcontracts over $100,000 must follow the Contract Work Hours and Safety Standards Act, 40 USC 3701–3708. Among other provisions, the statute covers standards listed below. Consult the statute for proper interpretation and guidance.

- Work hours
- Report of violations and withholding of amounts for unpaid wages and liquidated damages
- Health and safety standards in building trades and construction industry
- Safety programs
- Limitations, variations, tolerances, and exemptions
- Contractor certification or contract clause in acquisition of commercial items not required
- Criminal penalties

Other Requirements

Liquidated Damages

Invitations for bids must supply a date or timeframe to complete the project for each prime contract. You may include a liquidated damages provision in the contract. It allows you to assess damages when the contractor does not complete the construction or modernization by the specified date. Liquidated damages must be real, justified, and approved by the awarding agency before solicitation. Where damages are assessed, any amounts paid belong to the recipient.

Disposition of Unclaimed Wages

If an employee doesn't claim wages from an HHS-supported construction contract, the recipient might need to pay HHS back. Here's the process:

- Check that the contractor tried to find the employee. This might include forwarding mail or contacting their union.
- If the contractor's search fails but seems incomplete, try to find the employee.
- Open an escrow account in the employee's name. Keep it for two years after the contract ends, or longer if local laws say so. Tell the GMS about this account.
- If you pay wages from the account to the employee or their representative, report to the GMS when you close the account.
- If money is still unclaimed after two years, refund the awarding agency based on the award's contribution to those wages.

Use of Facility and Disposition

Unless a statute or instructions from your awarding agency say otherwise, here's how to manage real property:

- Keep using the property for its intended purpose. Don't sell or encumber the title without approval.
- If you don't need it for the initial purpose, get written approval from the awarding agency to use it for a similar federally funded project.
- If you no longer need the property, follow the rules in 45 CFR 75.318. Your options include:
- Keep it and pay the awarding agency their fair share based on their contribution and the property's market value.
- Replace it. If buying new property under the same award, use any sales money to reduce the new property's cost.
- Sell it and pay the awarding agency based on a formula in 45 CFR 75.318(c)(2).
- Transfer it to the awarding agency or their approved third party. They'll pay you your fair share based on your contribution and the property's current market value.

Foreign Organizations, International Organizations, and Domestic Recipients with Foreign Components

The GPS generally applies to awards to foreign organizations and international organizations. You can find the definitions of these terms in Appendix B of the GPS. In this section, we refer to them as foreign awards.

The AOR must contact the GMS if their organization can’t follow these requirements. This section includes:

- Exceptions and modifications to GPS requirements for foreign awards
- Highlights of other related policies
- Policies that apply to awards with a foreign component

Public Policy Requirements and Objectives

Requirements in Appendix D apply to foreign awards, unless otherwise noted here, the NoA, or in awarding agency policies. Exceptions include:

- Civil rights: The civil rights requirements do not apply to foreign awards.
- Debarment and suspension: These rules and the certification requirement do not apply to:
- foreign governments and foreign recipients
- public international organizations
- entities that are foreign-government-owned or controlled, in whole or in part

All other foreign organizations and international organizations are subject to these rules.

- Drug-Free workplace: The awarding agency may exempt foreign awards from these requirements. To do so, they must find that the requirements are not consistent with U.S. international obligations or the laws and regulations of a foreign government.
- Environmental requirements: A foreign award isn't subject to environmental requirements that would not otherwise apply to it.

Funding and Payment

These policies apply:

- All application budgets, fund requests, and financial reports must be in U.S. dollars.
- If exchange rates change, extra costs might be covered, depending on the awarding agency's available funds.
- You only need prior approval for rate changes if they lead to needing more federal funds or if they will reduce project scope significantly.
- Review local currency gains to determine if you will need additional federal funding before the award ends.
- Adjustments for currency increases may be allowable only when you provide the awarding agency with adequate source documentation from a commonly used source in effect at the time you made the expense.

Allowable and Unallowable Costs

The cost principles that apply to foreign organizations depend on the type of organization. See Cost Principles. There are some exceptions:

- Major A&R are unallowable under foreign awards and domestic awards with foreign components, except where allowed by the governing statute and as indicated in the NoA.
- Minor A&R are generally allowable on awards made to foreign organizations or to a foreign component of a domestic award, unless prohibited by the governing statute or implementing program regulations. You may include and justify minor A&R costs in the detailed application budget. Rebudgeting to accommodate minor A&R requires prior approval.
- F&A Costs under foreign awards, including foreign recipients with a domestic component, are at a fixed rate of eight percent of modified total direct costs. These are direct costs minus tuition and related fees, equipment, and subawards in excess of $25,000. See 45 CFR 75.414(c)(1)(ii). These funds are to support the costs of compliance with federal requirements.
- Capital expenses (facilities) are not allowable, except where allowed by the governing statute and as indicated in the NoA. The awarding agency will not support the acquisition cost or provide for depreciation.
- Equipment is an allowable direct cost.
- Patient care costs are provided only in exceptional circumstances or where allowed by the statue setting up the award program.
- Travel Visas (including short-term) are generally allowable:
    - As a direct cost as part of recruiting costs if the institution has an employee-employer relationship with the individual
    - When identified in specific NOFOs
    - If within the scope of an approved research project

Administrative Requirements

Expanded authorities generally apply to foreign awards. Review the NoA to determine the specific award requirements. See the Prior Approvals and Expanded Authority sections of the GPS. These requirements also apply to subawards to foreign entities under financial assistance arrangements, rather than acquisition of goods or services.

If you make a subaward to a foreign entity, to comply with audit requirements, you must include oversight methods. These may include reviewing reports, on-site reviews, or alternatives to a single audit, if one will not be available during the period of the subaward.

Federal Institutions and Payments to or on Behalf of Federal Employees Under Awards

Most policies contained in the GPS apply to awards made to federal institutions. This section includes specific exceptions and modifications of general GPS requirements for federal recipients. It also highlights other related policies.

Eligibility

Specific eligibility is in each NOFO. An awarding agency may not issue an award to any component of its own organization.

PHS organizational segments, other than IHS hospitals, may receive award support under exceptional circumstances only. Such circumstances may include when the work cannot be supported within the mission of the PHS agency and cannot be performed elsewhere.

The federal agency or department is the official applicant, regardless of where within it the work is to be performed. A federal institution must ensure that its own authorizing legislation allows it to receive awards and to be able to comply with the award terms and conditions.

A document that assures both the assumption of responsibility and authority to receive an award must accompany each new and competing continuation application. The assurance must be signed by the head of the responsible federal department or independent agency or a designee who reports directly to the department or agency head. This assurance is in addition to those made by the AOR's signature on the face page of the application. The assurance requirement does not apply to VAMCs, Bureau of Prisons' (Department of Justice) hospitals, IHS hospitals, or other PHS organizational segments.

For-Profit Organizations

General

Terms and conditions for for-profit organizations vary from standard ones. Also, terms and conditions for SBIR and STTR programs vary from those usually applied to for-profit organizations.

Cost Principles

Usual cost principles do not specifically apply to for-profit organizations. As a result, use:

- For for-profit organizations: FAR, 48 CFR § 31.2.
- For private hospitals: 45 CFR part 75, appendix IX.

Allowable and Unallowable Costs

Allowable Costs

- Indirect costs
- Travel that does not exceed costs established by the Federal Travel Regulation (FTR).

Unallowable Costs

- Independent research and development costs, as provided in 45 CFR § 75.476.
- Profits or fees, except for awards under the SBIR and STTR programs and funds paid to a contractor for routine goods or services.

Consult the GMS for questions on costs.

Administrative Requirements

For-profit organizations generally are subject to the same administrative requirements as non-profit organizations, including those relating to personal property title and management.

- Equipment: For-profit groups must track equipment. You can't use award-funded equipment to compete unfairly by offering paid services. Any fees charged for using the equipment count as program income and you must report it on the FFR.
- Intellectual property: All for-profit groups, regardless of size, follow the intellectual property rules in 37 CFR § 401. For-profit organizations have different invention reporting rules than non-profits. For-profit organizations can assign invention rights to others without agency approval, but they must still report each invention. The federal government will keep information about federally supported inventions confidential, as allowed by law.
- Program income: See Program Income.
- Operating authorities: Standard award terms apply to for-profit organizations. However, some policies do not allow automatic carryover of unobligated fund balances. The NoA specifies the disposition of the reported unobligated balance.
- Audit: Requirements for non-federal audits of for-profit organizations are in 45 CFR § 75.501. For-profit organizations are subject to requirements for non-federal audits. See Audit Requirements.
- Labor distribution requirements: Salary and wage amounts charged to awards for personal services must:
    - Be based on an adequate labor distribution system that distributes payroll costs in line with generally accepted practices of like organizations.
    - Align to industry standards.
    - Track time spent on award activities. The time and-effort reporting system used must:
    - Be for both professional and other staff
    - Reflect daily reporting
    - Track time by individual projects and indirect activities
    - Record both hours worked, and hours absent
    - Enable the AOR to meet the requirement to certify time entries at least every pay period.
    - The GMS must approve any alternative system.

Small Business Innovation Research and Small Business Technology Transfer Programs

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs have three stages. Some projects might not be eligible for all three.

Phase I

Before providing Phase II support, this phase assesses:

- The technical merit and feasibility of proposed research or R&D
- The quality of the applicant's performance

Phase II

This phase advances efforts started in Phase I. These policies apply:

- Funding is based on the results of Phase I and the scientific and technical merit and commercial potential of the Phase II application.
- Only Phase I recipients can apply for Phase II funding.
- You can only submit Phase II applications before a Phase I award if using the Fast-Track application process (see below).
- You must submit non-Fast-Track Phase II applications within the first six receipt dates after the end of your Phase I budget period. This is typically two years.

Phase III

The SBIR and STTR programs do not fund Phase III. This phase is for the SBC to work to commercialize the results of the research or R&D done in Phases I and II. In some cases, a federal agency may:

- Use non-SBIR and STTR funds to continue the work.
- Contract for items for federal use.

SBIR and STTR

STTR

The STTR program focuses on teaming a Small Business Concern (SBC) with a non-profit research body for a project that might be turned into a product.

The program requires:

- The SBC collaborates with a single non-profit research institution.
- The SBC must do at least 40% of the research. A domestic non-profit organization does at least 30%. This rule is the same for both Phase I and Phase II.
- Eligible research partners include universities, non-profit hospitals, other non-profits research organizations, and federally funded Research and Development Centers.
- The award goes to the SBC. It disperses funds to the research institution.
- The PI must spend at least 10% of their time on the STTR project.

SBIR

The SBIR program requires that SBC employ the PI at least half-time at the time of award and during the project.

Fast-Track Process

The Fast-Track process speeds up decisions and funding for SBIR and STTR Phase II applications. Policies include:

- To be eligible, the project must be scientifically meritorious with a high potential for commercialization.
- Not every agency lets SBCs use Fast-Track. Talk to the agency first before applying.
- If you aren't approved for Fast-Track, your application might go through the regular review.
- With Fast-Track, Phase I and Phase II applications are handled together and usually get one overall score.

For more details, check the SBIR and STTR NOFOs.

Place of Performance and Sources of Materials

All project activities for Phase I and Phase II of SBIR and STTR must be done in the United States. Using a foreign site for research is rare and needs a solid scientific reason. An example includes testing specific patient groups only available abroad. You must attempt to get alternate funding for the part of the work to be done abroad.

If you must buy materials from another country, you must have a good reason and clearly explain it. Approval of such a waiver is rare. The awarding agency reviews each request individually. If you'll need to do this, talk to the GMS before you apply.

GMSs decide waiver requests. The NoA will clearly state if it is approved.

Change in Organization Status & Change of Recipient Institution Actions

The awarding agency makes eligibility decisions at the initial award time.

A later event like a merger or successor-in-interest could alter the organization's status. If the change makes the organization ineligible for the SBIR or STTR program:

- Any current awards can still proceed unless the small business concern makes a material misstatement that the agency decides poses a risk to national security; or there is a change in ownership, change to entity structure, or other substantial change in circumstances of the small business concern that the Federal agency decides poses a risk to national security
- After that, the organization will not qualify for new SBIR or STTR awards

If an SBIR or STTR award needs to be transferred to a different institution or organization, this new entity must also fulfill the eligibility requirements of the SBIR or STTR program.

Contact the awarding agency to discuss options when considering a move to a new organization.

Minimum Level of Effort

Congress requires minimum levels of effort for these programs.

SBIR required levels of effort:

Program and Phase:	SBC level of effort:	Aggregate payments to others may not exceed:
SBIR Phase I	67%	33%
SBIR Phase II	50%	50%

STTR minimum levels of effort:

Program and Phase:	SBC minimum level of effort:	Single, non-profit research institution minimum LOE:
STTR Phase I	40%	30%
STTR Phase II	40%	30%

Policies include:

- Waivers are not allowed.
- The basis for establishing the percentage of work to be done by each participant is the entire cost (including direct, indirect costs, and fee) related to each party. However, if described and justified under the "Consortium/Contractual Arrangements" section of the application, a different basis might be used.

Multiple Program Director or Principal Investigator Applications and Awards

Team science efforts may use a multiple program director or principal investigator (Multi PD/PI) option. The following policies apply:

- The SBC is always the applicant or recipient organization. Other participants are subcontractors.
- Each PD or PI must commit at least 1.2 calendar months (10% effort) to the project.
- SBIR Phase I and II projects: The contact PD or PI must meet the primary employment requirement. Other PDs or PIs do not have to meet the requirement.
- STTR Phase I and II projects: The PI listed must have a formal appointment with, or commitment to, the SBC. This must be an official relationship but does not require pay.
- Phase IIB Multi PD/PI competing renewal applications: If previously supported through a single PD/PI award, the new application must state the changes in the project's management that led to the proposed Multi PD/PI model.

Public Policy Requirements

Requirements in Appendix D: Administrative and National Policy Requirements apply, unless otherwise noted here or in awarding agency policies.

- Disclosure of financial conflicts of interest does not apply to Phase I of the SBIR and STTR programs.
- Under an SBIR or STTR award, the SBC should purchase only American-made equipment or products when possible.

Allowable Costs and Fees

Program Levels (Total Costs)

The SBA SBIR and STTR Policy Directive provides program levels for SBIR and STTR programs based on statutory guidelines. The directives allow awarding agencies to exceed these levels up to 50% over the guideline when the proposed budget and requested period of support are justified and scientifically appropriate for the proposed research.

In some cases, Phase II SBIR or STTR recipients may apply for Phase IIB competing renewal awards. These are available for projects that require extraordinary time and effort for R&D. Only those SBCs awarded a Phase II may apply for the Phase IIB award.

Applicants must request an appropriate level in the competing application. The awarding agency will not adjust it after submission.

Profit or Fee

SBCs can earn a reasonable profit or fee under Phase I and II of the SBIR and STTR programs.

- This profit or fee must be in the application budget.
- The profit or fee isn't considered a cost for determining allowable use, program income accountability, or setting audit thresholds.
- The SBC can use the profit or fee for any purpose, including investment into the awarded project.
- The intent is to provide a reasonable profit consistent with normal profit margins for for-profit organizations for R&D work. Typically, the profit or fee will not surpass seven percent of the total project costs for each phase.
- The profit or fee should be drawn from PMS in proportion to the drawdown of funds for direct and indirect costs.
- The profit or fee is exclusively for the SBC that receives the award. However, in line with regular commercial practices, the SBC can pay a profit or fee to a contractor that provides routine goods or services under the award.

Indirect Costs

If the applicant SBC has a currently effective indirect cost rate with a federal agency, the rate should be used when calculating proposed indirect costs for an application. The rates must be adjusted for IR&D expenses, which are not allowable under HHS awards.

If that applicant does not have an approved indirect cost rate, one can be proposed in the application. See below for specific requirements for each phase. If awarded at a rate, indirect costs cannot exceed the awarded rate unless the SBC negotiates an indirect cost rate with a federal agency. The awarding agency will not negotiate indirect cost rates for Phase I awards.

If you do not have an effective negotiated indirect cost rate, you may propose estimated indirect costs at a rate not to exceed 40 percent of the total direct costs. You can charge only actual indirect costs to projects.

Phase II

If you do not have an effective negotiated indirect cost rate, you may propose an estimated indirect rate in the application.

If the requested rate is 40 percent of total direct costs or less, you do not need to provide further justification. You can charge only actual indirect costs to projects.

If you choose to negotiate an indirect cost rate greater than 40%, DFAS is the appropriate agency. Upon request, provide DFAS with an indirect cost proposal and supporting financial data for your most recently completed fiscal year. If you do not have financial data for the most recently completed fiscal year, submit a proposal showing estimated rates with supporting documentation.

Administrative Requirements

Market Research

HHS will not support market research, including studies of the literature that lead to a new or expanded statement of work.

No SBIR or STTR funds, direct or indirect, can be used to support commercialization.

For SBIR and STTR programs, market research is the systematic gathering, editing, recording, computing, and analyzing of data relating to the sale and distribution of the research subject. It includes research on:

- The size of potential markets and potential sales volume
- Identifying consumers most apt to purchase the products
- The advertising media most likely to stimulate their purchases

Market research does not include activities that include a public survey to determine the research subject's impact on the behavior of individuals.

Intellectual Property

The recipient keeps rights to data and software created with award funding. However, the federal government has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use the material and to authorize others to do so for Federal purposes.

For SBIR and STTR awards, unlike other commercial awards, such data cannot be released outside the Federal government without the recipient's permission for a period of 20 years from completion of the project.

Data Rights

Section 9 of the Small Business Act, as amended (15 USC 638), allows SBC's under an SBIR or STTR award to retain their data rights for at least four years. The SBIR/STTR Policy Directive applies the following data rights:

- The Act allows small business concerns (SBCs) to keep the rights to data they create while working on an SBIR/STTR award. This helps encourage SBCs to participate in Federally funded research and supports them in commercializing their technology. The Federal Government will have access to this data to assess the projects and use the results, but it cannot use the data in ways that would hurt the SBC's rights or economic opportunities. The SBIR/STTR data rights provisions and definitions ensure that the Federal Government effectively protects properly marked SBIR/STTR data during the SBIR/STTR protection period just as well as it protects data developed at private expense.
- Federal agencies that participate in SBIR/STTR awards must make sure that SBC recipients keep appropriate proprietary rights to data generated while working on an award. In general, this means the Federal Government will have rights to that data during the protection period, except for certain types of data that are not subject to such data rights restrictions.
- SBIR/STTR data rights apply to all SBIR/STTR awards, including subcontracts, for all phases of the program (I, II, or III) as defined by the SBA Policy Directive from May 2, 2019. The rights for Phase III awards are the same as those for Phases I and II.
- SBIR/STTR data rights restrict the Federal Government's use and release of properly marked SBIR/STTR data only during the SBIR/STTR protection period. After the protection period, the Federal Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for government purposes. At this time, the Federal Government is relieved of disclosure prohibitions related to such government purposes and assumes no liability for unauthorized use of these data by third parties. The Federal Government receives unlimited rights in Form, Fit, and Function Data, OMIT Data, and all unmarked SBIR/STTR data.

SBIR/STTR Data Rights - Main Elements:

- An SBC retains title and ownership of all SBIR/STTR data it develops or generates in the performance of an SBIR/STTR award. The SBC retains all rights in SBIR/STTR data that are not granted to the Government in accordance with the SBA Policy Directive. These rights of the SBC do not expire.
- The Government receives SBIR/STTR data rights during the SBIR/STTR protection period on all appropriately marked SBIR/STTR data. These rights enable the Federal Government to use SBIR/STTR data in limited ways within the Government, such as for project evaluation purposes. These rights are intended to prohibit use and disclosure of SBIR/STTR data that may undermine the SBC's future commercialization of the associated technology. The Government receives unlimited rights in Form, Fit, and Function Data, OMIT Data, and all unmarked SBIR/STTR data.
- After the SBIR/STTR protection period has expired, the Federal Government may use, and authorize others to use on its behalf, for government purposes, SBIR/STTR data that was subject to SBIR/STTR data rights during the SBIR/STTR protection period.
- The SBIR/STTR protection period begins with award of an SBIR/STTR funding agreement. It ends twenty years, or longer at the discretion of the participating agency, from the date of award of an SBIR/STTR award (either Phase I, Phase II, or Federally-funded SBIR/STTR Phase III) unless the agency and the SBC negotiate for some other protection period for the SBIR/STTR data subsequent to the award.
- Any SBIR/STTR data that is delivered must be marked with the appropriate SBIR/STTR data rights legend or notice to receive the protections given to SBIR/STTR data pursuant to SBIR/STTR data rights. The Government is not liable for the access, use, modification, reproduction, release, performance, display, disclosure, or distribution of SBIR/STTR data that is not appropriately marked in line with agency procedures. If SBIR/STTR data is delivered without the required legend or notice, the SBIR/STTR recipient may, within 6 months of such delivery (or a longer period approved by the agency for good cause shown), request to have an omitted SBIR/STTR data legend or notice, as applicable, placed on qualifying data. If SBIR/STTR data is delivered with an incorrect or nonconforming legend or notice, the agency may correct or permit correction at the recipient's expense.

Negotiated Rights:

- An agency must not, in any way, make issuance of an SBIR/STTR award conditional on the SBC negotiating or consenting to negotiate a special license or other agreement regarding SBIR/STTR data. The negotiation of any such specially negotiated license agreements shall be permitted only after award.
- After issuance of an SBIR/STTR award, the SBC may enter into a written agreement with the agency to modify the license rights that would otherwise be granted to the agency during the SBIR/STTR protection period. However, the agreement must be

entered into voluntarily, by mutual agreement of the SBC and agency. The agreement cannot be a condition for additional work under the funding agreement or the exercise of options. The agreement must be entered into only after the SBIR/STTR award, which must include an appropriate SBIR/STTR data rights clause, has been signed. Any such specially negotiated license must be in writing under a separate agreement after the SBIR/STTR funding agreement is signed. A decision by the recipient to relinquish, transfer, or modify in any way its rights in SBIR/STTR data must be made without pressure or coercion by the agency or any other party. Any provision in a competitive non-SBIR or SBIR solicitation that would have the effect of diminishing SBIR/STTR data rights shall have no effect on the provision of SBIR/STTR data rights in a resulting Phase I, Phase II, or Phase III award.

- To ensure that SBIR/STTR recipients receive the applicable data rights, all SBIR and STTR NOFOs and resulting funding agreements must fully implement all of the policies, procedures, and requirements set forth in the SBA Policy Directive in appropriate provisions and clauses incorporated into the SBIR/STTR NOFOs and awards. The SBA Policy Directive provides a sample SBIR/STTR data rights clause containing the key elements that must be reflected in the clause used in Federal Agency solicitations. SBA will report to the Congress any attempt or action by an agency, that it is aware of, to condition an SBIR or STTR award on the negotiation of lesser data rights or to exclude the appropriate data rights clause from the award.
- The STTR program requires that the SBC and the single, non-profit research institution execute an agreement allocating between the parties intellectual property rights and rights, if any, to carry out follow-on research, development, or commercialization of the subject research.

SBIR and STTR recipients are covered by 35 USC 200-212 and 37 CFR § 401 with respect to inventions and patents.

Data Sharing

For SBIR Phase II funding over $500,000 in a year in direct costs, applicants must follow the GPS on data sharing, unless the Small Business Act conflicts. If the data is proprietary or sensitive, the SBC should explain it in the application. Whether or not the award meets the threshold for data sharing under Intellectual Property, HHS won't share data outside the federal government without recipient approval for a period of 20 years from completion of the project.

For more information, please see NIH's SBIR/STTR information page.

Research Awards

Human Subjects in Research

The regulation for all HHS awards involving human subjects research is 45 CFR part 46, Basic HHS Policy for Protection of Human Subjects. Subpart A is also known as the Common Rule. These regulations

implement Section 491(a) of the Public Health Service (PHS) Act. These regulations apply to both domestic and foreign organizations.

The Office for Human Research Protections (OHRP), Office of the Assistant Secretary for Health, is the office with HHS-wide responsibility for research involving human subjects under this policy.

All NOFOs will clearly state:

- The parameters of human subject use
- The information and assurances required from you prior award

There is a single version of the Federal-wide Assurance (FWA) form and Terms of Assurance for domestic and international institutions.

Recipients, whether domestic or international, must safeguard the rights and welfare of human subjects in HHS-conducted or -supported activities (45 CFR § 46.101(a) and 45 CFR § 46.103(a)).

Recipients must ensure that subrecipients follow these requirements, as applicable. Recipients must facilitate the process for obtaining prior approval for subrecipients if not approved in the award.

Exemptions

Some human subject research is exempt from the requirements of the HHS regulations.

The categories of research that qualify for exemption are found at 45 CFR § 46.104(d)(1)-(8). HHS has final authority to decide if a particular research study supported by HHS is exempt from the HHS regulations. OHRP is the only component of HHS with the delegated authority to interpret and enforce the regulatory requirements in 45 CFR § 46.101(c) regarding whether a particular activity is regulated by 45 CFR part 46. Contact OHRP for questions.

Policies for Non-Exempt Human Subjects Research

The recipient, including any collaborating organization under a subaward, must:

- Hold or obtain an OHRP-approved FWA (45 CFR § 46.103(a)).
- Certify to the awarding agency, within the time frame specified, that the research has been reviewed and approved by an Institutional Review Board (IRB) designated in the FWA (45 CFR § 46.103(d)).

The OHRP website contains a listing of those organizations with OHRP-approved assurances.

The awarding agency must make sure an applicant and any collaborating organizations have the required assurance and certification in place, before:

- Making an award unless there is a specific condition in the NoA restricting expenditures for this purpose.
- You initiate human subjects research, and the awarding agency removes any related NoA specific condition.
- Approving a post-award change in scope that will result in human subjects research.

The specific award condition must indicate that:

- You may not draw down funds, obligate or expend federal funds, or claim required cost sharing or matching costs for research involving human subjects at any site engaged in research until you meet all requirements.
- Failure to comply within the stated time may result in full or partial termination of the award.

The prohibition on expenditures may extend to the whole project if that activity can't be isolated.

Research Involving Animals and Their Welfare

Requirements for using live, vertebrate animals apply to all PHS agencies and other research-related awards. PHS agencies include AHRQ, CDC, FDA, HRSA, IHS, NIH, OASH, and SAMHSA. These requirements apply to recipients, subrecipients, and contractors, whether foreign or domestic.

The requirements:

- Are included in the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy).
- Incorporate the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training.
- Require the recipient to maintain an animal care and use program based on the Guide for the Care and Use of Laboratory Animals.
- Require compliance, as applicable, with the Animal Welfare Act and other federal statutes and regulations relating to animals.

You must establish appropriate policies and procedures to ensure the humane care and use of animals, and you are ultimately responsible for compliance with the PHS Policy.

You can get information about animal welfare topics from the Office of Laboratory Animal Welfare (OLAW), Office of Extramural Research, National Institutes of Health.

Before engaging in any HHS award-supported research using animals, applicants must:

- Have a current Animal Welfare Assurance approved by OLAW. The list of organizations with approved assurances is on the OLAW website for both domestic institutions and foreign institutions.
- Verify, as part of the application or before award, current Institutional Animal Care and Use Committee (IACUC) approval of the animal activities. PHS Policy requires that IACUC approval must have happened within three years of the period of performance start date for new or renewal awards and at least every three years after that.
- Comply with the awarding agency's internal IACUC requirements if a cooperative agreement.

If you do not have a current Animal Welfare Assurance (or made alternative arrangements, like an inter-institutional assurance acceptable to OLAW) or has not provided the required verification by the

time an award is to be made, the awarding agency will notify the PO and the applicant. The awarding agency may:

- Delay the award until the recipient and all performance sites are operating in accordance with approved Animal Welfare Assurances and the organization has provided verification of IACUC approval of those sections of the application that involve use of animals.
- Include a specific condition in the NoA restricting expenditures.

The award condition must state that:

- You may not draw down funds, obligate or expend federal funds, or claim required cost sharing or matching costs for research involving animals at any site engaged in research until you meet all requirements.
- Failure to comply within the stated time may result in full or partial termination of the award.
- The prohibition on expenditures may extend to the whole project if that activity can't be isolated.

Before approving changes involving animal research after award, the awarding agency needs to confirm that there's a proper Animal Welfare Assurance with OLAW. They also need verification from the IACUC.

Reporting

Reporting requirements under the PHS Policy include an annual report to OLAW describing:

- Any updates in your animal care program as mentioned in the Assurance.
- Changes in IACUC membership
- The dates when the IACUC reviewed your program and facilities.

Lastly, the IACUC must quickly report any serious issues or breaches in policies, guidelines, or any suspensions through the official who signed the Assurance.

Foreign Applicants

Foreign applicant organizations applying for awards for activities involving animals are required to comply with PHS Policy or provide evidence that acceptable standards for the humane care and use of animals will be met.

This includes providing OLAW with an Animal Welfare Assurance for Foreign Institutions, which includes:

- Institutional assurance and certification of compliance with the applicable laws, regulations, and policies of the jurisdiction in which the research will be conducted
- A commitment to follow the International Guiding Principles for Biomedical Research Involving Animals.

Awards to Individuals

No award to an individual will be made unless that individual is affiliated with an assured organization that accepts responsibility for compliance with the PHS Policy.

Appendix D: HHS Administrative and National Policy Requirements

Please go to the following page to see updated HHS requirements:
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

Additional Information on Uniform Administrative Requirements

As stated in the information linked above, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75) apply to all HHS awards, unless specifically exempted by 45 CFR § 75.101(d) or (e).

As of October 1, 2024, the following provisions from 2 CFR part 200 are effective for all new HHS awards or monetary actions (new, continuation, and supplements):

2 CFR § 200.1 Definitions: Modified Total Direct Cost (MTDC), which increases the exclusion threshold of subawards from $25,000 to $50,000 for modified total direct costs, definition of Equipment, which increases the threshold for determining equipment from $5,000 to $10,000, definition of Supplies, which increases the threshold for determining supplies from $5,000 to $10,000;

2 CFR § 200.313 (e) Equipment: Increases from $5,000 to $10,000 the value of equipment that at the end of the grant period "may be retained, sold, or otherwise disposed of with no further responsibility to the Federal agency" (*see 2 CFR section 200.313(e)(1)*). The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.

2 CFR § 200.314(a) Unused Supplies: Increases from $5,000 to $10,000 the value of unused supplies that recipients of Federal funds are required to sell at the end of the grant award period as well as clarifying that this amount is the total amount of remaining unused supplies, not just like items (*see 2 CFR section 200.314*).

2 CFR § 200.320 Micro-purchase Threshold: Increases the micro-purchase threshold to $50,000 (*see 2 CFR 200.320*).[1]

2 CFR § 200.333 Fixed Amount Awards Subawards: Increases from $250,000 to $500,000 the amount of fixed amount subawards that a recipient may provide with prior written approval from the Federal agency (*see 2 CFR section 200.333*).

2 CFR § 200.344 Closeout: Increases the time period for recipients to submit final reports in support of closeout of the award from 90 to 120 days (*see 2 CFR 200.344*).[2]

2 CFR § 200.414(f) De Minimis Indirect Rate: Increases from 10% to 15% the rate that recipients of Federal funds may use for indirect costs without negotiating an alternative rate with the relevant

[1] This provision has already been adopted by HHS by operation of law, Pub. L. No. 115-91, and OMB Memorandum 18-18. It is included to be clear that this regulation is in force for HHS.

[2] This provision has already been adopted by HHS. See 88 FR 63591 (Sept. 15, 2023). It is included to be clear that this regulation is in force for HHS.

Federal agency (*see 2 CFR section 200.414*). Note that this does not apply to HHS Training or Foreign awards, for which HHS proposes to maintain a modification that caps the de minimis at 8%.

2 CFR § 200.501 Single Audit: Increase from $750,000 to $1,000,000 the level at which a recipient of Federal funds is required to conduct a single audit or a program specific audit (*see 2 CFR section 200.501*).

Appendix E: Financial Assistance General Certifications and Representations

In almost all instances, applicants must have a SAM.gov registration. Agreement to a list of general certifications and representations is required for registration.

Please go to the following page to see updated Certifications and Representations:

https://www.hhs.gov/sites/default/files/financial-assistance-general-certification-representations.pdf

Outlook

EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)

From Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>

Date Wed 2025-05-28 16:49

To Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>; Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>; Braxton, Makoto (ASPR/ADMIN) <Makoto.Braxton@hhs.gov>; Brookins, Marsha (IHS/HQ) <Marsha.Brookins@ihs.gov>; Bryant, Benjamin (ARPA-H) <benjamin.bryant@arpa-h.gov>; Bulls, Michelle G. (NIH/OD) [E] <michelle.bulls@nih.gov>; Chandler, Tanielle (ACL) <Tanielle.Chandler@acl.hhs.gov>; Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>; Cooper, Renee (HHS/ASFR) <Renee.Cooper@hhs.gov>; Crowley, Alexis L (OIG/OMP) <Alexis.Crowley@oig.hhs.gov>; Genovese, Alissa (HHS/ASFR) <Alissa.Genovese@hhs.gov>; Ghosh, Sudevi (CDC/OGC) <ggq4@cdc.gov>; Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>; Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>; Hakimian, Rina (HHS/OGC) <rina.hakimian@hhs.gov>; Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>; Lorenzo, Felix (HHS/ASFR) <Felix.Lorenzo@hhs.gov>; Nestor, Johanna (HHS/ASFR) <Johanna.Nestor@hhs.gov>; Pendleton, Kimberly (FDA/OC) <Kimberly.Pendleton@fda.hhs.gov>; Tilford, Kevin (HHS/ASFR) <Kevin.Tilford@hhs.gov>

1 attachment (228 KB)

OG AT 2025-03 Rescinded AT 2025-02_ db.pdf;

Chief Grants Management Officers,
Effectively immediately OG rescinds Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. We are awaiting further Federal-wide guidance prior to updating the Grants Policy Statement (GPS).

For now, you do not need to take the actions described in AT 2025-02 to apply the award term therein to HHS award actions.

Please let us know if you have any questions.

Chad T. Clifford
Executive Director, DPOET – Office of Grants
Office of the Secretary - ASFR
U.S. Dept. of Health & Human Services
Phone: 202-360-7318

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-03

Issuance Date: May 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.05.28 15:26:59 -04'00'

SUBJECT: Action Transmittal 2025-02, *Department of Health and Human Services Grants Policy Statement (GPS) Update*, is rescinded until an updated term is issued.

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

Internal Only

HHS Grants Policy Statement

Effective date: July 24, 2025

This HHS Grants Policy Statement (GPS) replaces all prior versions

Contact grantpolicyreq@hhs.gov with GPS feedback

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Introduction and General Information

The Grants Policy Statement (GPS) is incorporated by reference in the official Notice of Award (NoA) as a standard term and condition.

The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards. The GPS also provides information about the legal and regulatory rules that apply to your award and will be used for enforcement purposes. The GPS will be updated to reflect changes in law and policy.

The latest version of the GPS is at www.hhs.gov/grants/grants/grants-policies-regulations/index.html and it includes:

- Introduction and General Information
- Pre-Award
- Post-Award
- Single Audit
- Appendices

    A. Awarding Agency Overview
    B. Abbreviations and Glossary
    C. Post-Award Considerations by Type of Program, Activity, or Recipient
    D. HHS Administrative and National Policy Requirements
    E. Financial Assistance General Certifications and Representations

Supersession

This GPS replaces the HHS Grants Policy Statement dated January 1, 2007.

This GPS reflects the current 45 CFR part 75 regulation and eight flexibilities from 2 CFR part 200 (effective October 1, 2024). It will be updated in 2025 to reflect the HHS adoption of 2 CFR part 200 in its entirety and the retention of certain HHS specific provisions in 2 CFR part 300. From this date on, HHS plans to update the GPS annually to make sure it reflects changes in statutes, regulations, and policies.

Applicability

The 2024 HHS GPS applies to awards and award modifications that add funding made on or after April 16, 2025. This includes supplements to award, competing and non-competing continuations. The GPS applies to all HHS recipients and the requirements flow down to subrecipients.

The HHS GPS does not apply to awards made by the National Institutes for Health (NIH). For NIH awards, please see the National Institutes of Health Grants Policy Statement (NIHGPS), which is the policy document describing the requirements that serve as the terms and conditions of NIH awards.

The HHS GPS does not apply to non-discretionary awards or to awards made to individuals. HHS agencies have the discretion to apply certain parts of the GPS to non-discretionary awards and other policies to your non-discretionary or individual award.

Agencies that administer HHS awards include:

- Administration for Children and Families (ACF)
- Administration for Community Living (ACL)
- Agency for Healthcare Research and Quality (AHRQ)
- Assistant Secretary for Planning and Evaluation (ASPE)
- Assistant Secretary for Preparedness and Response (ASPR)
- Assistant Secretary for Technology Policy and Office of the National Coordinator for Health Information Technology (ASTP)
- Centers for Disease Control and Prevention (CDC)
- Centers for Medicare & Medicaid Services (CMS)
- Food and Drug Administration (FDA)
- Health Resources and Services Administration (HRSA)
- Indian Health Service (IHS)
- National Institutes of Health (NIH)
- Office of the Assistant Secretary for Health (OASH)
- Office of the Inspector General (OIG)
- Substance Abuse and Mental Health Services Administration (SAMHSA)

See Appendix A for more information.

Requirements

The following impose requirements on your award and are addressed in the GPS:

- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75)
- Eight provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR § 200):

    1. 2 CFR § 200.1 Modified Total Direct Cost Definition, Equipment Definition, Supplies Definition
    2. 2 CFR § 200.313(e) Equipment Disposition
    3. 2 CFR § 200.314(a) Supply Disposition
    4. 2 CFR § 200.320 Micro-purchase Threshold
    5. 2 CFR § 200.333 Fixed Amount Subawards Amount
    6. 2 CFR § 200.344 Closeout Provisions
    7. 2 CFR § 200.414(f) Indirect Cost Rate Provisions
    8. 2 CFR § 200.501 Audit Provisions

- The Notice of Award (NoA)
- The Notice of Funding Opportunity (NOFO), if stated in the NOA

Other regulations or statutes with more requirements might apply to your award. These include:

- Grants for Research Projects 42 CFR part 52
- Procedures of the Departmental Grant Appeals Board 45 CFR part 16
- Claims Collection 45 CFR part 30
- Equal Treatment for Faith-Based Organizations 45 CFR part 87
- Restrictions on Lobbying 45 CFR part 93
- Metric Conversion Policy for Federal Agencies 15 CFR part 273
- Public Health Service Policies on Research Misconduct 42 CFR part 93
- Protection of Human Subjects, 45 CFR part 46

See Appendix D for more information.

Terms and Conditions

HHS states the requirements of an award in the award terms and conditions:

- The GPS is incorporated by reference as a standard term and condition of awards.
- The NoA includes all terms and conditions of a specific award.
- Notice of Funding Opportunities (NOFOs) describe program requirements, which may be included as terms and conditions.

Types of HHS Awards

Awards fall into two main types:

- Discretionary: HHS chooses who gets the award and how much. Selection of these awards are generally competitive. The amount of an award can be competitive or by a set formula. Types of discretionary awards include research, training, services, construction, and conference support.
- Non-discretionary: A statute determines the recipients and amounts, either directly or by a formula (i.e., each State gets an award of a certain amount). This includes block grants and entitlement programs.

Award Instruments

Award instruments are legal agreements between an awarding agency and a recipient. The two kinds generally addressed in the GPS are:

- Grants: The awarding agency is not substantially involved in the project (31 USC 6302, 6304).
- Cooperative agreements: The awarding agency is substantially involved in the project (31 USC 6302, 6305).

Roles and Responsibilities

This section highlights roles and responsibilities. The GPS supplies more details throughout.

Recipient Roles and Responsibilities

Recipients manage performance and funds. Required roles are:

- Authorized Organizational Representative (AOR): The AOR has authority to act for the organization and is responsible for meeting award requirements, properly managing the award, and providing oversight. The AOR's signature on a grant application guarantees that the information in the application is correct and the organization is responsible for following all requirements.
- Principal Investigator or Project Director (PI/PD): The PI/PD is the individual(s) designated by the recipient to direct the project or program being supported by the award. The PI/PD is responsible and accountable to officials of the recipient organization for the proper conduct of the project, program, or activity.

Awarding Agency Roles and Responsibilities

HHS is responsible to Congress and U.S taxpayers for carrying out its mission in a cost-effective and compliant way. The HHS agencies that administer awards have grants offices and staff designated to conduct this work. The roles and responsibilities of HHS staff (at each awarding agency) include:

- Grants Management Officer (GMO): The GMO is the official who handles the non-program parts of an award for the HHS agency. The GMO is the focal point for receiving and acting on requests for prior approval or for changes in the terms and conditions of award. The GMO is the only official authorized to obligate the HHS awarding agency to the expenditure of federal funds or to change the funding, duration, or other terms and conditions of an award.
- Grants Management Specialist (GMS): Acts as the main grants administration contact for recipients. Handles administrative activities on behalf of the GMO. The GMS contact information can be found on the NoA.
- Project Officer or Program Official (PO): Responsible for the programmatic, scientific, and technical sides of award programs, including oversight and monitoring. The PO contact information can be found on the NoA.
- Review Administrator (RA): Provides oversight of the application review process, although not all agencies have this role.

Pre-Award

This section helps you find funding opportunities, prepare, and apply.

Locating Funding Opportunities

Agencies announce competitive funding opportunities. All discretionary Notice of Funding Opportunities are listed on Grants.gov**.** There are three other ways to find more information about HHS financial assistance.

Grants.gov, Forecasts, and the Notice of Funding Opportunity (NOFO)

HHS policy requires maximum competition for discretionary grants to the greatest extent possible. As such, HHS agencies promote the widest and earliest possible spread of information through forecasts of upcoming grant opportunities and NOFOs. Awarding agencies post discretionary or competitive NOFOs at Grants.gov.

Grants.gov forecasting is the direct way to find NOFOs. NOFOs are usually open for at least 60 days. Only rarely are they open for fewer than 30 days.

Because HHS aims for the widest and earliest possible spread of information, HHS agencies post future opportunities on Grants.gov through forecasts. Forecasts may be posted weeks or months before NOFOs. Forecasted NOFOs can be found in the Grants.gov search page by clicking the "forecasted" button. Forecasts include helpful information such as:

- expected number of awards
- estimated award amounts
- description of the program
- estimated NOFO posting date
- estimated application due date
- estimated project start date and period of performance

How to Subscribe to HHS Grants Forecast

When you create a Grants.gov account, you can customize the type of email notifications you receive. Log in and then go to the subscription page to sign up for news updates about system enhancements, notifications about saved searches, new funding opportunities, and more.

Awarding Agency Websites

Most awarding agencies have award web pages. See Appendix A.

SAM.gov and Assistance Listings

Assistance listings are public descriptions of federal assistance programs. All assistance listings are included on the System for Award Management (SAM.gov), a site run by the U.S. General Services Administration. Search assistance listings at SAM.gov.

Preparing to Apply

The first step is to read the entire NOFO and the links in it. Each part of the NOFO sets out basic information for that award.

To apply, you must:

- be an eligible entity
- address the NOFO requirements
- submit a complete and compliant application by the deadline(s)

General Eligibility Considerations

In general, HHS awards may be made to domestic public or private, non-profit or for-profit organizations. Foreign or international organizations are eligible for research awards, or if expressly authorized by law.

The NOFO includes specific eligibility criteria and any requirements to prove eligibility. Applicant eligibility criteria for all HHS NOFOs are almost always based on statute or program regulation.

HHS policy requires open competition to the greatest extent possible. Restricting eligibility, as compared to statute or program regulations, is only done with appropriate justification in rare cases.

Agencies review applications for eligibility when they receive them. The AOR signature generally serves as assurance of eligibility, unless additional proof of eligibility is required in the NOFO. If the applicant is not eligible, the application will not be reviewed.

Additional Eligibility Restrictions

Concurrent Applications

You cannot apply for funding for the same project or activities from multiple HHS Public Health Service (PHS) agencies at the same time. If you do, your applications will be returned. See Appendix A for a list of PHS agencies.

Suspension, Debarment, and Exclusion

Agencies are required to check SAM.gov for individuals and organizations that are debarred, suspended, declared ineligible, or voluntarily excluded from receiving HHS award funds. HHS will not give awards to or pay these individuals and entities, including recipients and subrecipients. If such an individual is involved in an award, costs like their salary are not allowed.

Applicants must disclose if any of the following conditions apply to their organization, planned staff or principals (as defined in 2 CFR § 180.995), including Principal Investigators (PIs), and other key personnel:

- Are currently excluded or disqualified;
- Were convicted within the previous three years of any offenses listed in 2 CFR § 180.800(a) or had a civil judgment for one of those offenses during that time;
- Are currently indicted for or otherwise facing criminal or civil charges by a governmental entity (federal, state, or local) for any of the offenses listed in 2 CFR § 180.800(a); or,
- Have had any public transactions (federal, state, or local) terminated within the previous three years for cause or default.

Recipients of HHS awards must also make subrecipient organizations and subrecipient participants follow federal Debarment and Suspension regulations (2 CFR part 376 and 2 CFR part 180). These participants can include:

- Consortiums
- Subcontracts
- Consultants
- Collaborators
- Contractors that require the provision of goods or services that will equal or exceed $25,000

These subrecipients must also make sure that anyone they hire with award funds follow the same rules. Before entering into an agreement, these participants should tell the award recipient if he, she, or any principals are excluded or disqualified at that time.

Ultimately, it is the job of the applicant or recipient to make sure none of the subrecipient and principals involved are excluded or disqualified. Award recipients cannot make a transaction with someone who is disqualified unless they get an exception under the disqualifying statute, Executive Order, or regulation from HHS.

For more information, see Suspension and Debarment at 45 CFR § 75.213, 2 CFR part 180 and 2 CFR part 376.

Delinquency on Federal Debt

If an entity or individual owes money to the U.S. with a lien, they cannot get an award. Applicants must state in their applications whether they are delinquent on any federal debts. Agencies may delay awards until federal debts are settled.

Do not include a person in the application if they have unpaid federal debts with a lien. Agencies will disallow costs for these individuals.

See 28 U.S.C. 3201(e).

Lobbying Prohibition

Applicants must certify they will not use federal funds to pay any person to influence agency staff, Congress members, and officers or employees of Congress about federal awards.

Applicants with total proposed costs of more than $100,000 must certify that they:

- have not made unallowable lobbying payments,
- will be responsible for reporting on non-federal funds used for lobbying,
- will include these requirements in consortium agreements, subawards, and contracts of more than $100,000 under their award.

See 2 CFR part 93, 2 CFR § 200.450, and the SF-424 for more about lobbying requirements.

HHS Application Process

Types of Applications

HHS uses these application types:

- New application: A request for funds for new activities. It can be competitive or not.
- Non-competing continuation application: A request for funds for the next budget period(s) within a period of performance. Agencies provide an NoA with new budget details.
- Competing continuation or renewal application: A request to continue a project that is ending with a new period of performance. This is competitive.
- Supplemental application: A request for more funds in the current budget period. This can be for changes in the project scope, expansion of already approved activities, or for unexpected costs.
- Revised application: A previously not funded application updated and submitted again for review.

Pre-applications and Letters of Intent

Before a full application, an agency might ask for:

- Pre-applications: Used to filter out applicants that will be unlikely to receive funding through an objective review. This saves time before writing a full application.
- Letters of Intent: Agencies might want notice that you plan to apply. This is usually optional and doesn't mean you have to apply. It's mostly to gauge interest and help the HHS agency estimate how many applications to expect.

Application Forms

Forms and instructions are on Grants.gov. You can find a NOFO's required forms in the application package in Grants.gov. The NOFO is your best source when completing forms. The NOFO agency contact, located on the NOFO, can answer any questions you may have.

Application Budgets

You will need to include a budget as part of your application. Some applications require a detailed budget. The NOFO will describe the budget requirements. For HHS budgets, applicants and recipients need to understand:

- The costs allowable under the program
- The relevant cost principles
- The difference between direct and indirect costs
- When you need an indirect cost rate or research patient care cost rate, and
- Any matching or cost sharing requirements

Project costs include allowable direct costs plus allocable indirect costs, minus applicable credits. See below Cost Principles, Direct Costs and Indirect Costs sections of the GPS.

Cost allowability is subject to the governing statute, program regulations, and award terms and conditions. There are situations when HHS will not reimburse indirect costs.

Cost Principles

Developing an application budget depends on understanding what costs are allowable under HHS financial assistance programs.

For more information about how cost principles apply to your organization, see 45 CFR § 75.401.

This section on cost principles interprets the regulations at 45 CFR part 75 and is not all-inclusive.

Cost principles:

- Establish general standards for the allowability of costs.
- Provide guidance on treating costs as direct or indirect.
- Provide principles for selected items of cost.

The cost principles apply to all recipients.

You can use your own accounting system to implement the cost principles if you meet the standards for financial management systems at 45 CFR § 75.302.

The federal-wide cost principles are in 45 CFR part 75, subpart E.

The cost principles for:

- Hospitals are at 45 CFR part 75 Appendix IX
- For-profit organizations are at 48 CFR § 31.2

If specifically identified, use the applicable cost principles for your type of organization. Cases where the cost principles do not apply are listed in 45 CFR § 75.401(a).

Is It Allowed?

As the HHS agency official for the non-program parts of awards, the Grants Management Officer (GMO) makes the final determination on allowability.

For all allowability requirements see 45 CFR § 75.403. Following is a summary.

A cost is allowable if all the following apply:

- It is necessary and reasonable for award performance.
- It complies with any limitations or exclusions in the cost principles or the federal award about types or amounts of cost items.
- It is consistent with policies and procedures across all recipient activities, regardless of source of funding.
- It is consistent across all activities in identifying direct and indirect costs.

- It follows generally accepted accounting principles (GAAP). See 45 CFR § 75.403(e) for exceptions.
- It is not used for cost-sharing requirements of another federally financed program, unless specifically allowed by law.
- You maintain required documentation.

Is It Reasonable?

For all reasonableness requirements see 45 CFR §75.404. Following is a summary.

Considerations for reasonableness include:

- If the cost is generally recognized as ordinary and necessary.
- The requirements of:
    - Sound business practices
    - Arm's-length bargaining
    - Federal, state, local, tribal, and other laws and regulations
    - Terms and conditions of the federal award
- If the cost aligns with market prices for comparable goods or services in the geographic area.
- The cost does not significantly deviate from your established practices and policies regarding such costs, regardless of source of funding.

Allocability

Allocability in grants means costs that can be applied to your award. For all allocability requirements see 45 CFR § 75.405. Following is a summary.

A cost is allocable if any of the following apply:

- It is spent only for the work under a federal award.
- It benefits both the federal award and other recipient work and can be distributed using reasonable methods.
- It is necessary to your overall operations and can be assigned to the federal award.

Direct and Indirect Costs

Costs can be direct or indirect:

- Direct costs: Directly related to the cost of the project or project activities. These costs are based on actual expenses or easily estimated accurately. Examples of direct costs are generally salaries, travel, equipment, and supplies directly for grant activities.
- Indirect costs: Not readily tied directly to the project or project activities. If a cost is indirect, it cannot also be listed as a direct cost for any federal award. Examples may be facilities operation and maintenance costs, depreciation, and administrative

expenses. You must have or negotiate an indirect cost rate to reimburse indirect costs.

See 45 CFR §§ 75.413-414, and 45 CFR § 200.414.

Indirect Cost Rates

As stated above, indirect costs are for common activities that cannot be specifically tied to a particular project. Examples include facilities operation and maintenance costs, depreciation, and administrative expenses. You must treat costs as direct or indirect consistently.

Indirect costs are allowable under most HHS awards and are charged as a rate. There are three ways indirect costs may work:

- Specified rate. The rate may be specified in statute, regulations, or policy. If this is so, the difference between the specified rate and the negotiated rate can satisfy match or cost sharing requirements. There are three HHS-specific specified rates to consider:
- Training grants, including career awards, are limited to 8%.
- Indirect costs to foreign organizations and foreign public entities when the awarded work is performed fully outside of the territorial limits of the U.S. are limited to 8%.
- Negotiated Indirect Cost Rate Agreement (NICRA). You can negotiate a rate with your cognizant federal agency. If the cognizant agency is HHS, a rate is negotiated by Program Support Center Cost Allocation Services (CAS) or the Division of Financial Advisory Services (DFAS) in the NIH Office of Acquisition Management and Policy (responsible for negotiating indirect cost rates for for-profit recipients). Indirect cost proposals must use the applicable cost principles and cognizant agency guidance.
    - See 45 CFR part 75, Appendix III for institutions of higher education.
    - See 45 CFR part 75, Appendix IV for non-profits.
    - See 45 CFR part 75, Appendix V for state and local government cost allocation plans.
    - See 45 CFR part 75, Appendix VI for public assistance.
    - See 45 CFR part 75, Appendix VII for state and local governments and Indian Tribe indirect cost plans.
- De minimis rate. If you do not have a NICRA, you can use the de minimis rate indefinitely. We are applying the newly revised rate, in 2 CFR § 200.414(f), of 15% of modified direct costs. Modified direct costs are salaries and wages, fringe benefits, materials and supplies, services, travel, and no more than $50,000 of each subaward, minus some exclusions. See 2 CFR § 200.2 for the full definition. See 2 CFR § 200.414 for more on the de minimis rate.

The de minimis rate is not applicable for some recipients. These recipients include governmental agencies that receive more than $35 million in direct funding and Indian tribal governments. See 2 CFR Appendix VII to § 200 D.1.b.

Exclusions

Some HHS awards and recipients are not eligible for indirect cost reimbursement. This will be described in the NOFO.

Indirect costs are not paid for:

- Grants to federal institutions, 45 CFR § 75.217(b)(3)
- Grants to individuals, including fellowships, scholarships, traineeships, or fixed amounts like educational allowances or tuition and fees, 45 CFR § 75.2 (Definition of Micro-Purchase Threshold).

Pass-through Entities

Pass-through entities must use their subrecipient's federal NICRA. A 15% de minimis rate may be used if there is no federally negotiated agreement. See 2 CFR § 200.414.

Salary Rate Limit (SRL)

Generally, the HHS Appropriations Act includes an SRL. This statutory requirement limits the amount of funds under a grant or other extramural mechanism that can be used to pay individual salaries (including executive salaries) at a rate above the Executive Level II. Recipients may pay salaries at a rate higher than the Executive Level II if the amount beyond the HHS SRL is paid with non-HHS funds. Since the Executive Level II rate and HHS Appropriations Act citation changes each year, HHS refers to the Office of Personnel Management (OPM) posting the most recent information at https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/24Tables/exec/html/EX.aspx.

The HHS SRL applies to:

- The majority of HHS awards.
- Both direct and indirect costs under applicable HHS awards.

Effective October 1, 2024, when HHS is the cognizant agency for indirect costs or when HHS is acting as the shared-service provider for another cognizant agency for indirect costs, the HHS component that reviews and negotiates indirect cost rate proposals and cost allocation plans will issue NICRAs that incorporate the HHS SRL, to comply with the HHS Appropriations Act requirement.

Beginning with HHS awards, including continuation and supplemental awards, made on or after October 1, 2024, HHS recipients that do not have an approved indirect cost rate that complies with the HHS SRL requirement must take and document the following actions.:

- Identify any HHS award where HHS funds are used to pay any salary that exceeds the SRL using the HHS award. This includes both direct and indirect costs, both in whole and any portion of a salary that at a full-time equivalent exceeds the SRL.
- Have written policies and procedures that ensure the recipient does not draw down HHS award funds, whether as direct or indirect costs, to pay for salaries above the HHS SRL.

This may occur because the NICRA was issued before October 1, 2024, and it is not yet up for renewal, OR because the NICRA was issued by another cognizant agency for indirect costs that does not have an identical SRL.

A recipient may request a companion rate on the NICRA from HHS that does not incorporate the HHS SRL if:

- HHS is their cognizant agency for indirect costs or HHS is the shared-service provider for their cognizant agency for indirect costs; and
- The recipient is applying for an award from another Federal agency or from a program not subject to the HHS SRL.

Cost Sharing

Cost sharing refers to project costs that are not funded by the HHS agency. It is also sometimes called "match."

Cost sharing can be voluntary or can be required by statute or regulation.

NOFOs include information about:

- Whether there is required or voluntary cost sharing
- The agency's approach to looking at cost sharing during the application review
- Any caps on the agency's portion of total award costs
- Any restrictions on the types of funding that are acceptable as cost-sharing (e.g., in-kind contributions)
- Required documents, like commitment letters

See more on cost-sharing requirements at 45 CFR § 75.306.

Program Income and Third-Party Reimbursement

Program income is money a recipient earns that is both:

- Earned during the period of performance
- Earned directly from an activity funded by the award or due to the award

This can include money earned from things like:

- Services performed under the award,
- Renting property bought with award funds,
- Selling items made with award funds,
- Third-party reimbursement, such as payments for health services, and fees based on ability to pay,
- Principal and interest on loans made with award funds, and
- Royalties from patents and copyrights.

It does not include:

- Interest earned on advances of Federal funds or things like rebates, credits, discounts, and interest earned on any of them unless stated otherwise in the NOFO or NoA.

The full definition for program income is found at 45 CFR § 75.2 "Program income"

NOFOs might ask for estimated program income in the budget. NOFOs explain how to use expected program income.

There are no requirements for what to do with income earned after the end of the award period of performance, unless the NOFO or NoA says otherwise.

See more on the treatment of program income at 45 CFR § 75.307.

Unique Entity Identifier (UEI) and Registering in SAM.gov

Every applicant needs a Unique Entity ID (UEI) from SAM.gov.

- For a new UEI, register on SAM.gov. You'll get an email when it's active. This can take time.
- If you already have a UEI, renew on SAM.gov yearly.
- Keep your SAM registration details current.
- Make sure that your SAM registration is accurate for both contracts and grants.

For more information, see Get Ready for Grants Management at HHS.gov.

State and Local Review Requirements

Federal rules allow state and local governments and health agencies to review and comment on applications. You will find the requirements in the NOFO. There are two types of reviews:

- Intergovernmental review. Executive Order 12372 and 45 CFR part 100 allow for intergovernmental review by state and local governments through the State Single Point of Contact (SPOC).
- Public health system reporting. This reporting provides state and local health agencies with information on applications by health care delivery programs. If a state or local health official wants to review a full application, the official contacts the SPOC.

Contact your SPOC to learn more. Find SPOCs at the Office of Management and Budget website. Not all states have this process.

Applying

In almost all cases, you will need to submit applications online. All HHS agencies are required to post their competitive NOFOs on Grants.gov and will also post there how to apply online.

Agencies will not review applications that are from ineligible applicants, incomplete, are not compliant, or are not responsive to program requirements.

Send your application by the NOFO's deadline. If you are late, it will almost always be deemed non-compliant and will not be reviewed.

The AOR's signature on an application certifies that:

- The information in it is truthful, complete, and accurate,
- The applicant will comply with all required certifications and assurances,
- The applicant will comply with terms and conditions when accepting an award, and
- The non-federal entity is aware that any false, fictitious, or fraudulent statements or claims may subject the applicant to criminal, civil, or administrative penalties.

Some agencies might allow paper or email submissions. The NOFO will explain exemption requests. These are rare.

> PLEASE NOTE: Applicants must register with Grants.gov. For how to register with Grants.gov, see Registering an Organization or contact the Grants.gov contact center at 1-800-518-4726 or support@grants.gov. Registering can take up to one month.

Application Receipt and Review

Initial Eligibility Review

The awarding agency screens applications for eligibility. Unless the NOFO requires specific proof of eligibility, the AOR's application certification is enough.

Use of Application Information

Agencies protect your application information during merit review and in accordance with laws like the Freedom of Information Act and Privacy Act of 1974. Once awarded, the government can only use or share data as federal law allows. To help safeguard your information:

- Avoid sharing personally identifiable information.
- Only add confidential information if necessary.

See the Access to Research Data section of the GPS.

Merit Review

Merit review is a review by those with expertise in the programmatic subject matter area for the submitted applications.

Applications for discretionary programs, whether received in response to a NOFO, requested from a single source (very rare), or received as an unsolicited request for grant funding, will go through a merit review.

The merit review provides recommendations to the individuals responsible for making award decisions. Merit review is necessary to make sure HHS choses applications that best meet the needs of

the program. These needs must be based on what the NOFO says about what makes a successful application.

Peer review is a form of merit review. Reviewers are peers with expert knowledge about how the program topic. Sometimes, the program statute may tell us which type of reviewers to pick or how a review should happen.

Award Risk and Business Review

Before award, agencies do pre-award risk and business reviews of applications. These can include:

- Cost analysis of the budget
- Assessment of management systems
- Final review of applicant eligibility
- Compliance with public policy requirements

During this review, the agency might request more details or actions from you.

Following review, officials make decisions about making the award, adding special conditions, and funding level.

Cost Analysis

HHS agencies careful review of the applicant budget includes:

- a review of the cost breakdowns
- a check to make sure the cost data in the application is correct
- an overall review of the costs for need for and the reasonableness and allowability of proposed costs

The review depth depends on project complexity, applicant prior experience, and other factors.

Management System Analysis

Applicants must have systems, policies, and procedures in place to manage award funds and activities. HHS agency staff take a close look at your financial and business management systems. This review includes property management and procurement systems and helps ensure:

- Applicant organizations apply policies and procedures consistently, regardless of funding source, and
- Systems meet the standards and requirements in 45 CFR § 75.302, Financial Management.

Civil Rights Assurance

Domestic recipients, subrecipients, and contractors must file Form HHS 690, Assurance of Compliance once with the HHS Office for Civil Rights (OCR). It is not needed for each application.

The recipient must ensure that subrecipients and contractors have filed the form.

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Human Subjects and Animal Welfare Assurance

If IRB review and approval is required but still pending at the time of award, agencies will restrict human subjects research until they get and approve the needed proof. Additional information is available on the Office of Human Research Protections website. This includes a series of decision charts to help assess whether an activity is human subjects research covered by the regulation and when an exemption may apply.

Before getting an award, if applicants plan to use vertebrate animals, they must send an Animal Welfare Assurance to HHS' Office of Laboratory Animal Welfare. This confirms that a committee has reviewed the parts of the application related to animals.

Communicating Decisions

Agencies inform applicants about their decisions in various ways:

- Award: If you are getting an award, you will receive a Notice of Award (NoA).
- Denial: If the agency decides not to fund your application, the AOR gets a letter.
- Approved unfunded: Sometimes, despite a good review, there's not enough funds.

  The awarding agency could keep your application for future funding. The awarding agency will notify the AOR that your application is approved but unfunded.
- Revised application eligibility: If not successful, the NOFO might allow you to adjust and reapply later. However, some agencies cap the number of revisions and retries.

You cannot appeal a denial or the amount of funds awarded.

The Notice of Award

The Notice of Award is a legal instrument. See 45 CFR § 75.210 for the contents of an NoA.

Accepting the Award

Once accepted, the contents of NoAs are binding.

Applicants become recipients when the NoA is signed by the awarding agency's Chief Grants Management Officer (CGMO) or his/her delegate. The recipient accepts an award by drawing down funds. HHS expects recipients to draw down funds in the first 30 days of the period of performance.

Declining or Negotiating Awards

During the time between the NoA being signed and the drawing down of funds, if you can no longer accept an award or you need to negotiate any award parts, tell the awarding agency. If no agreement is reached, the agency will cancel the award. You cannot challenge the agency's decisions on the terms and conditions.

Periods of Performance

HHS uses the period of performance system for funding awards. Funding is provided in approved yearly increments called budget periods. The total period of performance includes the initial competitive

segment, any additional segments authorized by approved continuation applications, and any no-cost extensions.

A competitive segment usually will be no longer than five years, not including no-cost extensions. A single federal award for the entire period of support may be used if the project is only construction or modernization or if the total planned project will be less than 18 months.

The awarding agency will determine the length of the period of performance based on:

- Any statutory, regulatory, or administrative requirements,
- The length of time requested by the applicant,
- Any time limits on the period of performance recommended by merit review,
- The frequency of merit review, and
- The funding principles as specified in the NOFO.

The NoA generally approves a period of performance that goes beyond the current budget period, showing the HHS awarding agency's intention to continue providing support. Funding for future budget periods is not guaranteed at the level shown on the current NoA. There is no legal obligation for HHS awarding agencies to provide funding beyond the end date of the current budget period in the NoA.

Recipients must submit a continuation application or annual report to get approval and funding for each new budget period within the approved period of performance. The HHS agency will make its decision to fund the next budget period by issuing a NoA which shows the new budget period and amount of new funding. Funding is based on adequate performance, availability of funding, and the best interests of the federal government.

Budget periods usually last 12 months. However, they may be shorter or longer based on programmatic or administrative needs. The NoA will show the total approved budget for the applicable budget period. This includes direct costs, applicable indirect costs, and any required matching or cost sharing.

Costs in the NoA

The initial NoA and each subsequent NoA provide details of the award and the amount awarded. After the initial budget period, NoAs may reflect any authorized carryover and amounts previously awarded for the full period of performance. The amount awarded is shown either as total direct and indirect costs and as a categorical (line item) budget breakdown. This is based on the requirements in the NOFO.

Recipients have certain rebudgeting flexibility within the overall amount awarded. However, the total amount awarded is the maximum amount the awarding agency is obligated to pay under that award. Once an award is made, the HHS awarding agency is not required to provide any supplemental or additional funding.

Post-Award

As a recipient, you will manage HHS awards and activities including:

- Project performance, 45 CFR § 75.301 and 2 CFR § 200.202

- Use of award funds
- Compliance with award terms and conditions
- Issuing and monitoring subawards per 45 CFR § 75.352

Recipient internal controls and policies must meet 45 CFR § 75.303.

Awarding agency staff monitor recipients for compliance, performance, and need for technical assistance. Reviews include:

- Recipient reports
- Financial and progress reports
- Audit reports
- Correspondence,
- Onsite and remote site visits, and
- Other information.

The Notice of Award supplies HHS contact information and instructions for reporting.

Changes to Awards

Prior Approvals

At times, you may need to make changes to the program budget or activities. Some changes require prior written approval. To find out if a change needs prior approval:

- Carefully review your NoA.
- Review 45 CFR § 75.407 for actions needing prior approval.
- Review Appendix E of the GPS for prior approval requirements for certain types of awards.
- Ask your GMS if you are not sure.
- Ask your cognizant agency for indirect costs if you have questions about changes to indirect costs. The cognizant agency is the federal agency that approved your indirect cost proposal.

Seeking Prior Approval

Once you know that you need prior approval, you can request it from your GMS. Prior approval requests must include:

- Recipient name
- Principal investigator (PI) or project director (PD) and authorized organizational representative (AOR) name
- PI or PD and AOR telephone numbers and e-mail addresses

You must send your prior approval requests in writing, by mail, prior approval system, or email. It must:

- Be signed by the AOR (if sent in an email, attach the signed letter/memo)
- Include any necessary supporting documentation
- Get to the awarding agency in enough time for approval before making the change

Once received, the awarding agency GMO or his or her designee will review and approve or deny the request:

- If the GMO or GMS decides the change does not actually require prior approval, the awarding agency must promptly inform you.
- If prior approval is required, the GMS will send a decision to the AOR with a copy to the PI or PD within 30 calendar days of receipt.

Only the GMO or GMS, as the GMO's delegate, can issue written approval. Informal answers are not valid.

There is no appeal for denial of a prior approval request.

Subrecipient Prior Approvals

The recipient has the authority to give prior approval for changes to sub-award or contract activities or budget. This does not include any action inconsistent with the award purpose or terms and conditions. The awarding agency must approve any actions that will result in a change to project scope. Ask the GMS if you have questions about a proposed change.

Budget and Scope Changes

Minor Budget Changes

Within a budget period, you can adjust your budget without prior approval if:

- The change is within or between approved direct cost categories.
- Your award's federal share is below the simplified acquisition threshold, and your NoA doesn't include a prior approval need. Check the current threshold in the Federal Acquisition Regulation (FAR) at 2.101, Definitions.

Significant Budget Changes

Significant budget changes require prior approval when they constitute a change of scope or exceed 25 percent of total direct costs of the last approved budget period. When you are not clear if your budget change is beyond the scope, call your GMS.

Expanded Authority

If expanded authority is not granted in your NoA, you do not have it. To know if you have any expanded authorities:

- Review your NoA. Expanded authorities may be adopted by reference.
- Review your specific award conditions. These may include expanded authorities or limits on them.

When using expanded authorities as granted in the NoA, make sure you follow award requirements and the cost principles. All changes are subject to monitoring, audit, and related remedies for noncompliance. See the section below.

For a full understanding, see 45 CFR § 75.308(d)(1). Expanded authorities may include:

- Waiving the prior approval requirements in 45 CFR part 75, except for those listed in 45 CFR § 75.308(c)(1); and
- Three specific waivers in 45 CFR § 75.308(d), including:
    - Incurring project costs up to 90 calendar days before award. Doing so is at the recipient's risk.
    - Carrying forward unobligated balances to the next budget period unless the funds are currently restricted. You need prior approval to carry forward any unobligated balance to any budget period other than the next budget period.
    - Initiating a one-time extension of the period of performance by up to 12 months unless any of the following are true:
        - The extension requires additional federal funds
        - The extension involves any change in the approved project objectives or scope

Recipients may not use a one-time extension only to use unobligated balances.

Please Note: For awards that support research, unless your awarding agency provides other instructions in the NoA in general or because it is part of a regulation, the three specific waivers above (in 45 CFR § 75.308(d)) are automatic and noted in your NoA.

Several expanded authorities have specific deadlines for reports or notification. If a recipient consistently fails to meet them, the awarding agency may stop their ability to use them. Be sure to read your NoA carefully or ask your GMS if you have questions about expanded authorities under your award.

Extensions to Awards

The awarding agency may provide more time and funds after an award is made. The two types of extensions are:

- No-cost extensions: A time extension without more funds.
- Funding extension with funds: A time extension with added funds.

No-Cost Extensions

HHS agency prior approval is required for no-cost extensions, unless provided as an expanded authority.

When prior approval is required, the recipient must request the no-cost extension no less than 10 days prior to the end of the budget period.

In cases where there is expanded authority, the recipient must notify the HHS agency in writing with the supporting reasons and a recommendation for revised period of performance at least 30 calendar days before the end of the period of performance in the original NoA.

Regardless of whether approval is required, no-cost extensions are not meant to just spend unobligated funds. The purpose of a no cost extension is to:

- complete the project,
- provide for an orderly shutdown, or
- in some cases, provide a bridge to the next award.

If using expanded authority, and you do not need permission, you must tell the awarding agency.

Reminders for All Extensions

- You can't extend a period already lengthened by the awarding agency.
- Award terms and conditions still apply during the extended time.
- No matter the extension length, you must keep sending required reports as set out in your award.
- You must update all necessary certifications and assurances, including those about human subjects and animal welfare, following relevant rules and policies.
- A second extension longer than 12 months should be rare and will need special justification.
- If the agency denies an extension, you cannot appeal it.

Supplemental Funding Extension Without Change in Scope

A recipient may request supplemental funding with an extension of time without a change in scope that is under 25% of the total approved budget or $250,000, whichever is less, for the period of performance. These extensions are not competitive. Approving a request is at the discretion of the agency and depends on availability of funds.

Supplemental Funding Extension with Change in Scope

For supplemental funding and an extension of time with a change in scope, you must submit the request at least 30 days before the period of performance ends. The request must include the proposed revised ending date and justify both the extension and any additional funds. These extensions are not competitive. However, the HHS agency will conduct a merit review and will have to internally justify the award.

Transferring Major Work to A Subrecipient

Non-Pass-Through Programs

For these awards, you have a substantial project role and cannot just be a conduit for another party.

Before transferring major or substantive work to a subrecipient not in the approved application, you must get prior approval. This does not apply to buying or obtaining regular goods or services.

When asking for prior approval, include:

- What activities or tasks you want to transfer.
- Why a third party should do them.
- A detailed cost estimate and reasons, including any indirect costs and their reimbursement method.
- How you'll choose the subrecipient.
- The type of subaward planned.
- The types of organizations you'll solicit. If you've already chosen one, name it and explain why.

Pass-Through Recipient

A pass-through recipient means a non-Federal recipient that provides a subaward to a subrecipient to carry out part of a Federal program. In a pass-through program, the recipient:

- Chooses subrecipients to deliver services.
- Coordinates and oversees their activities
- Gives needed administrative support to meet awarding agency requirements.

For these programs, you don't need prior approval to give a subaward.

Change in Recipient or Recipient Status

The following section addresses policies for changes in recipient organization, scope, status of key personnel, and organizational status.

Change of Recipient Organization

To transfer the legal and management responsibility of an award to another organization, you must get prior approval.

The awarding agency must ensure the award's purpose and scope remain the same and the transfer aligns with federal appropriations laws and the statute or authority for the underlying award.

HHS allows transfer to a new recipient organization if:

- The award to be transferred has been terminated per 45 CFR § 75.372.
- There is a successor in interest or name change. Please contact your GMS for more information about the difference between these two.
- The awarding agency holds back a non-competing continuation award for reasons other than the project's performance. This can relate to the recipient's award management or not meeting terms and conditions.
- The original recipient agrees to give up the award before the period of performance ends. This can happen if a PI moves to a different organization. The project, with the same PI, can continue up to the current period of performance but not beyond. Costs cannot exceed the approved direct and applicable indirect costs.

Send your request as soon as possible before the end of the approved budget period within the period of performance.

If you want a change in organization, you must get prior approval from the GMS and sometimes, the Office of General Counsel. Contact the GMS if you believe the award needs to go to a new organization, ideally a few months ahead. Early requests enable important discussions, smooth review of the request, and avoid delays.

Supporting Documentation Needed for Requests

From the original organization:

- The PHS 3734, "Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant," or an equivalent form from the awarding agency.
- For research awards, include a "Final Invention Statement and Certification."
- A final Federal Financial Report within 120 days after the end of HHS support.

From the proposed new organization, the awarding agency will request an application and will provide instructions for completing the application.

Requirements for Review and Possible Approval

Transfer requests are only considered when:

- All benefits of the original award, including equipment purchased fully or partly with award funds, are transferrable;
- The awarding agency decides there is a continued need;
- There is no change in the project's scope. If there is, it may need a merit review and possibly a different procedure;
- The facilities and resources at the new organization will allow for successful performance; and,
- For transfers to or between foreign or international organizations, any special approval requirements are met. This might include approval by an advisory council or board.

Even if the requirements above are met, the HHS agency may reject the request or terminate the award.

To implement a recipient change, the HHS agency:

- Sends a revised NoA to the original recipient, updating the budget and end dates;
- Removes any support for future years;
- Deobligates any remaining funds, based on the expenses from the relinquishing statement; and,
- Issues an NoA to the new recipient, reflecting the balance from the relinquishing statement.

Change in Scope

The PI/PD may want to make changes in the methodology, approach, or other aspects of the project that do not change the scope. The GMS must give prior approval for a proposed change in scope.

A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application. This might include:

- Shifting the research emphasis from one disease area to another;
- Changing the service area;
- Eliminating a primary care delivery site; or,
- Making budget changes that cause a project to change substantially.

The HHS agency makes the determination of whether a proposed change is a change in scope.

Change in Status of Key Personnel

Key personnel include the PI or PD and any other key personnel named in the NoA.

Provide written request to the GMS if any key personnel:

- Withdraw from the project entirely;
- Are absent from the project for a period of three months or more; or,
- Reduce time devoted to the project by 25 percent or more from the approved level.

The awarding agency must approve replacement of key personnel, or any alternate arrangement proposed.

A request for approval to substitute key personnel includes:

- A justification for the change
- The proposed person’s biography
- Other sources of support, if applicable
- Any budget changes resulting from the proposed change

If your proposed arrangements are not acceptable to the awarding agency, they may suspend or terminate the award. If unable to make suitable arrangements, you may relinquish the award. To do so, notify the GMS in writing. The GMS will forward closeout instructions.

Change in Organizational Status

You must inform the awarding agency ahead of time about specific changes in your organizational status to ensure a smooth transition and maintain compliance with administrative requirements. The following are the situations that require prior notification:

- Successor-in-interest: This happens when the obligations and rights of an award are acquired as a part of the transfer of assets. Common causes include legislation or legal actions such as mergers or shifts in corporate structure.
- Name change: This occurs when an organization changes its name, but it doesn't affect the rights or obligations of the award recipient.

- Merger: This is when two or more entities legally unite. Handling of this scenario depends on its nature:
    - If the merger results in the transfer of awards, use the policies for a successor-in-interest.
    - If the merger doesn't involve award transfers, it's treated as a name change.

If the change would be considered a change of recipient organization as discussed above, then you must obtain prior approval.

For any change in organizational status, ask your GMS. This agency is usually the one that has granted you the most awards. The GMS can clarify whether the change will be treated as a name change or a successor-in-interest and guide you on the necessary steps to follow.

Financial Management

You must meet the standards and requirements for financial management systems in 45 CFR § 75.302. You must have adequate internal controls and a way to manage your award consistent with Department of the Treasury requirements. See the Payment section of GPS.

Financial management systems must:

- Provide accurate, current, and complete financial information about federal awards.
- Provide reasonable procedures to ensure that subaward recipients submit timely financial reports.
- Maintain records that:
    - Identify the sources of funds for award-assisted activities
    - Identify the award's purposes and uses, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income
    - Include accounting records supported by source documentation, such as canceled checks, paid bills, payrolls, and time and attendance records
    - Maintain effective control and accountability for all cash, property, and other assets under the award; adequately safeguard them; and ensure that they are used only for authorized purposes.
    - Compare actual expenditures with the approved budget amounts for the award.
    - Include written procedures to implement the requirements of 45 CFR § 75.305.
    - Include written procedures for determining the allowability of costs in accordance with 45 CFR part 75, subpart E.

Deficiencies in your financial management system may result in specific award conditions or increased monitoring.

States must expend and account for funds according to state laws and procedures for the state's own funds and ensure compliance with all the requirements above.

Payment

You accept an award and its terms and conditions by drawing down or requesting award funds from the designated HHS payment system or office.

HHS generally makes award payments through the Payment Management System (PMS). HHS grant payments are generally advance payments. You should draw down funds as often as needed.

In accordance with Department of Treasury regulations, you must draw federal cash only for your immediate needs. At time of draw down, you will certify you will not hold cash beyond three working days. You are responsible for knowing when funds are deposited into your bank account so that you can disburse them on time. You may end up with excess Federal cash on hand if you do not disburse or return funds on time. Do not request cash to cover unliquidated encumbrances, obligations, or accrued expenditures until payment is pending.

Refer to the Payment Management System (PMS) website and PMS User Guide | HHS PSC FMP Payment Management System for further guidance.

Types of Payment

As noted, HHS grant payments are generally advance payments. There are multiple ways to receive payments, including SMARTLINK II/ACH, CASHLINE/ACH, and cash request.

- SMARTLINK II/ACH: directly deposits funds to your bank account after you request them from PMS. You must have Internet access to submit a request for funds to PMS. This method makes funds available the day after the request using the Federal Reserve Bank's Automated Clearinghouse process.
- CASHLINE/ACH: directly deposits funds to your bank account using a telephone to call a "voice-response" computer at PMS. Makes funds available the day after the request with direct deposit using the Federal Reserve Bank's Automated Clearinghouse process.
- Cash request: provides payment if you are not eligible for unrestricted advance of funds. It will say in the NoA if you must use cash requests for payment. Cash requests may be an advance or reimbursement.

You may request funds monthly for advance payments. This request should be based on expected disbursements for following month and the amount of Federal funds already on hand.

A request for reimbursement may be submitted more often than monthly. You should submit requests to the awarding agency at least 2 weeks before the cash is needed. PMS makes payment electronically through the ACH process upon receipt of the approved payment request from the agency.

Refer to the Payment Management System (PMS) website and PMS User Guide | HHS PSC FMP Payment Management System for further guidance.

Interest Earned on Advances of Award Funds

You must keep advance payments in interest-bearing accounts, except as provided in 45 CFR § 75.305(b)(8). You can keep interest earned up to $500 per year for administrative expenses. Each year, you must remit any interest earned over $500 per year to the Payment Management System.

Indirect Costs

Indirect Cost Rate Negotiation and Salary Rate Limit (SRL) Policy

Please see Indirect Cost Rate Negotiation and SRL Policy in the Application Section.

New or Amended Indirect Costs

The GMO may permit new or increased indirect costs on an award when:

- A timely cost proposal was not received.
    - This can happen only if funds are available.
    - The amount is limited to the period after the effective date of the rate agreement.
- Rebudgeting changes a direct cost, which impacts an indirect cost.
    - The recipient may adjust the budget within the award ceiling and generally does need prior approval. See the Prior Approvals section of GPS.
- The indirect cost rate changes.
    - Generally, award amounts will not be adjusted based on a negotiated indirect cost rate different from that used at award.
    - However, if funds are available, a GMO may provide additional funds for indirect costs, only if:
        - An error was made in computing the award. This includes when a higher rate is negotiated after award and the date of the new rate agreement is within a month prior to the budget period start.
        - The awarding agency restores funds previously recaptured as part of an unobligated balance.
        - The recipient is eligible for additional indirect costs associated with additional direct costs awarded, such as a supplemental award.
        - A provisional rate was approved, and an approved indirect cost rate is now in effect.
    - The permanent rate will be used to determine indirect cost reimbursement, however:

- If the permanent rate is lower than the provisional rate, the award will not be adjusted downward, unless the indirect cost proposal included unallowable costs.
- The awarding agency is not required to provide new funds to accommodate a higher rate.

Applicable Credits

Applicable credits are funds saved or received that can reduce costs. Common examples include:

- Discounts
- Rebates
- Refunds for losses
- Corrections for overcharges

If you have any of these credits, you need to update the Federal Financial Report (FFR) to ensure that the proper amounts are charged to the award. If there are any extra steps, the awarding agency will let you know.

See 45 CFR § 75.406.

Allowable Costs and Activities

Allowable costs are either a direct cost or an indirect cost, and:

- Meet the applicable cost principles, including all the following:
  - Meet the factors affecting allowability. See 45 CFR § 75.403.
  - Are reasonable. See 45 CFR § 75.404.
  - Are allocable. See 45 CFR § 75.405.
  - Are allowable under the NOFO, program requirements, and NoA, including specific conditions and overall terms and conditions.
- Are specifically approved in the award, which means either:
  - The cost was included in the original award.
  - The cost is later approved by the awarding agency. See the Prior Approvals section of GPS.

Contact the GMS before incurring a cost if you have questions about allowability.

Subrecipients and contractors under the award must follow the requirements of their applicable cost principles.

Costs that Require Prior Approval

If you specifically describe a cost or activity that requires prior approval in your application budget, that cost is approved by the agency when you receive your award unless otherwise stated in the NoA. You do not need to get additional prior approval for that cost or activity.

You must get prior approval from the agency if you do not describe the cost or activity that requires prior approval in your application.

Profits and Fees

HHS will not provide profits or fees, except for the Small Innovation in Research (SBIR) and the Small Business Technology Transfer (STTR) Programs.

You can't pay fees to subrecipients or consortium members, even if they are for-profit.

Contractors can make a profit for common goods or services in accordance with normal commercial practice. See 45 CFR § 75.351.

Expenditure Adjustments

Expenditure adjustments are used to correct accounting or bookkeeping errors. These adjustments move costs between two budget categories, with at least one related to the HHS award. Once the error is found, it must be corrected within 90 days. If after 90 days, you must ask the GMO for approval.

Don't use expenditure adjustments to cover cost overruns or for unallowable costs.

Documentation

The adjustment must be supported by documentation that fully explains how the error occurred. Documentation must:

- Explain how the error happened and have an official from your organization certify the correction.
- Show how the adjustment meets the cost principles of allowability, allocability, and reasonableness.
- Support why the adjustment is needed, considering the type of cost, the original charge, and when it was first recorded.

Unless the expenditure adjustment needs GMO approval, you don't need to send the documentation to the GMS. Keep records for monitoring or audits. See 45 CFR § 75.364.

Send a revised Federal Financial Report (FFR) if the adjustment changes your previous FFR.

Your financial system should catch errors quickly. Regular mistakes suggest you need to improve your accounting or internal controls. Agencies might ask for corrective actions or add terms and conditions to your award.

Rate of Expenditure and Drawdowns

Expenditure and drawdown rates give information about progress, financial management, and internal controls.

Expenditures

The GMS monitors spending rates within each budget period and throughout the period of performance.

The funds for each budget period are based on:

- the work planned for that time
- your budget, including any unobligated funds

HHS expects spending rates and types to match the approved plan and budget.

Drawdowns

The GMS checks drawdown patterns to see if money is taken out too early or too slowly. This can show:

- problems with your financial management system or internal controls
- risk of not finishing the project on time and within budget

If issues are found, the GMS will ask for more details and help you make corrections, which may include coordinating with the agency PO and GMS.

Cost Allocation

If a cost benefits more than one project or activity, divide the cost based on the benefit to each project.

If it is hard to determine the split because the projects are closely linked, distribute the costs on a reasonable basis with clear and documented explanations.

Treatment of Unobligated Balances

Unobligated balances are funds under an HHS award that you have not obligated. You calculate this by subtracting the cumulative amount of funds obligated from the cumulative amount of funds authorized.

Unliquidated obligations are commitments you have made, but not yet paid. Unliquidated obligations should not be reported as part of an unobligated balance.

If you have unobligated balances in your annual FFR, the awarding agency can:

- Carry Over: Revise the NoA to carry over to a following budget period.
- Offset: Move them to the next budget period but deduct the total from the award amount.
- A Mix: Use a mix of carry over and offset.

During an active budget period, if you have unobligated balances from a previous budget period, you can ask the awarding agency in writing to use them. If approved, the awarding agency will amend the NoA. If approved, funds carried over can be used for costs within scope of the project.

Program Income

Program income is gross income earned by an award recipient, subrecipient, or contractor and directly generated by an award-supported activity or earned as a result of the award.

Program income includes:

- fees for services
- charges for the use or rental of real property, equipment, or supplies bought with the award
- the sale of products made under an award
- charges for research resources
- license fees and royalties on patents and copyrights

The NoA governs the use of royalties and other income earned from a copyrighted work, patents, patent applications, trademarks, or inventions.

Accountability

Accountability refers to whether the awarding agency specifies how the program income is to be used, if the income needs to be reported to the awarding agency, and for what length of time. The following general policies apply:

- Unless otherwise specified in the award terms and conditions, you are not accountable for program income earned after the period of performance ends.
- Program income may be used only for allowable costs using the applicable cost principles and award terms and conditions.
- Subawards and contracts are subject to the same terms regarding generated income as the recipient. The following policies apply related to when the program income is earned:
    - Received and expended during the period of performance. Recipient is required to use program income as provided in the NoA.
    - Received and expended after the period of performance. Required to adjust the final FFR to reflect receipt and use of the income as directed by the GMO.
    - Received during the project period but expended after the period of performance. This may happen if you earn the income during the final budget period of the period of performance, please get GMO approval to use income post final budget period and adjust the final FFR accordingly.

Alternatives for Use

The NoA will tell you how to use program income. Here are the alternatives:

- Additive: Add it to the project's funds to further allowable objectives. Program income must be used for the purposes and under the conditions of the award.
- Deductive: Deduct it from the project's total costs and reduce federal funds and recipient cost-sharing contributions.
- Combination: Uses the additive alternative for program income up to $25,000 and the deductive alternative for any amount over $25,000.

- Matching: Use it as all or part of the non-federal (matching) part of an award.

See 45 CFR 75.307(e) for more information.

Generally:

- For non-research projects: If not specified in the NoA, use the deductive method.
- For research projects (except for awards to for-profit organizations other than the SBIR and STTR programs): If it is not specified, use the additive method.

Reporting of Program Income

Recipients must report the amount of net program income earned and expended on the FFR. This is the gross program income earned minus the costs associated with generating the income.

- Report program income using the additive alternative on line 10n, which will populate line 10o.
- Report program income using the deductive alternative on line 10m, which will populate line 10o.
- Report program income used to satisfy match on line 10j. Do not include it on line 10l.

Reporting requirements for accountable income earned after award support ends are in the NoA.

Cost Sharing

Cost sharing — or matching — is the portion of project costs not paid by federal funds, unless otherwise authorized by federal statute. This may include:

- The value of allowable third-party in-kind contributions.
- Non-award funded expenditures made by the recipient.

See 45 CFR § 75.306 for rules on cost sharing or matching.

The following policies apply:

- Cost sharing may be voluntary or required by the NoA.
- Required cost sharing is part of the total approved budget in the NoA. It is part of the award requirements and enforceable.
- Cost sharing must follow the same requirements as the federal portion of the budget. This includes applicable cost principles, prior approval requirements, and other rules for allowability.
- Recipients may apply program income toward cash match only when expressly permitted by the NoA with prior approval.
- All cost sharing contributions must be from allowable sources. See 45 CFR § 75.403, 45 CFR § 75.404 and 45 CFR § 75.405

- For research awards:
    - Voluntary cost sharing is not expected under research proposals.
    - Voluntary cost sharing cannot be used as a factor during merit review of research applications unless explicitly described in the NOFO review criteria.
    - Only mandatory cost sharing or cost sharing committed in the budget must be included in your research base for computing your indirect cost rate or reflected in allocating indirect costs.

The awarding agency will accept shared costs or matching funds, including cash and third-party in-kind contributions, when they meet all the following:

- follow 45 CFR § 75.306(e) for volunteer services
- are verified from the recipient records
- are necessary and reasonable to accomplish project objectives
- are provided for in the approved budget when required
- are not paid by the federal government under another federal award, unless specifically allowed by law. See 45 CFR § 75.306(b)(5)

The following policies apply:

- Sources of cost sharing or matching contributions must follow the applicable cost principles. See 45 CFR part 75, subpart E.
- If an awarding agency authorizes the recipient to donate buildings or land for construction or facility acquisition or long-term use, the value of the donated property for cost sharing or matching is generally the lesser of:
    - the value of the remaining life of the property recorded in the recipient's accounting records at the time of donation
    - the current fair market value

  See 45 CFR § 75.306(d).
- You must document in your records all costs and contributions used to satisfy a matching or cost-sharing requirement. These are subject to audit.
- You may use unrecovered indirect costs to satisfy cost sharing requirements with prior approval. These are the difference between the amount charged to the award and the amount that could have been charged to the award under the recipient's approved negotiated indirect cost rate.
- A third-party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if either:
    - it is an increase in the services or property provided under the contract without added cost to the recipient or subrecipient, or
    - it is a cost savings to the recipient or subrecipient.

If the NOFO specifies that matching or cost sharing is required, it will also say:

- Whether including matching or cost sharing in the application is an eligibility requirement or an evaluation criterion.
- The nature of the requirement. For example, whether it is a fixed percentage.
- Required documentation, like letters of commitment.

Valuation of Volunteer Services

Anyone offering skilled or manual work can volunteer for award-related activities. See 45 CFR § 75.306(e)-(f).

To value the services:

- For individuals:
  - Use the usual rates your organization pays or area market rates for similar work.
  - If you do not have a set rate, use the typical local rate for that work.
  - You can also add a fair amount for fringe benefits.
- For employees lent by other companies:
  - Use their regular rate if they are doing their typical job.
  - Use the method for individuals if they are doing something different.

Valuation of Donated Buildings and Land

If an awarding agency authorizes you to donate buildings or land for construction or facilities acquisition projects or long-term use, the value of the donated property for cost sharing must be the lesser of the following:

- the value of the remaining life of the property
- the current fair market value

See 45 CFR § 75.306(d), (h), and (i).

Enforcement

If you do not meet the specified level of cost sharing in the NoA, an awarding agency may do any or all of the following:

- reduce the award amount
- adjust down award funds during the budget period
- disallow costs post award

Procurement Management

You may acquire goods or services in support of award activities. The following policies apply when procuring property and services under an award:

- States must follow the same policies and procedures it uses for non-federal funds. Follow the requirements at 45 CFR § 75.326.
- All other recipients and subrecipients of a state must follow the procurement standards in 45 CFR §§ 75.327 through 75.335.

In order to procure goods and services, you must:

- Have written procurement procedures and standards of conduct that reflect applicable state, local, and tribal laws and regulations,
- Use a procurement method
- Do a cost or price analysis for all procurements above the simplified acquisition threshold
- Choose responsible contractors
- Follow all requirements in this section of the GPS

The HHS awarding agency has no direct relationship with your contractor.

Recipients other than federal institutions cannot use General Service Administration (GSA) supply sources except states who may acquire hardware and software from the GSA supply sources consistent with the terms and conditions of the GSA schedule.

Fixed Amount Subawards

With prior written approval from the GMO, you may provide subawards based on fixed amounts up to $500,000 (2 CFR § 200.333). Fixed amount subawards must meet the requirements for fixed amount awards in 45 CFR § 75.201.

Requirements for States

States may follow the same policies and procedures for procurements using non-federal funds. States will comply with 45 CFR § 75.331 and ensure that every purchase order or other contract includes any clauses required by 45 CFR § 75.335.

States may acquire hardware and software from Federal Supply Schedules consistent with the terms and conditions of the schedules.

State agencies or agencies that are political subdivisions of states must comply with section 6002 of the Solid Waste Disposal Act as amended by the Resource and Conservation Act. The requirements include:

- Procuring only items noted in guidelines of the Environmental Protection Agency (EPA) at 40 CFR § 247 that contain the highest practical percentage of recovered materials.
- Keeping an acceptable level of competition, where the purchase price of the item is more than $10,000 or the value of the amount acquired during the previous fiscal year was more than $10,000.
- Procuring solid waste management services to maximize energy and resource recovery.
- Establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

Requirements for Foreign Entities

The HHS awarding agency may require a review of all proposed procurements exceeding a certain dollar amount or for certain types of services. The HHS awarding agency may also add specific terms and conditions to its awards that address the procurement of such goods and services.

Selecting Responsible Contractors

You must avoid acquiring duplicate or unnecessary services or goods. You should use the most efficient strategy for acquisition. You should use federal excess and surplus property whenever possible to reduce project costs. You must award contracts based on factors like:

- Integrity
- Compliance with public policy
- Past performance
- Financial and technical resources

System for Award Management (SAM) Eligibility

You must check the System for Award Management (SAM.gov) to make sure that you do not make a subaward or contract to a debarred, suspended, or ineligible organization. SAM needs to be checked:

- By the recipient organization:
    - for all first tier subawards, regardless of the amount
    - for all first-tier procurement contracts of $25,000 or more
    - for all lower tiers of contracts under covered non-procurement transactions. See 2 CFR § 376.220.
- By the subaward recipient for all lower tier subaward recipients.

Written Agreements

You must execute a written agreement between your organization and the subrecipient, if applicable. The agreement must include all the following:

- the activities to be performed

- time schedule
- the provisions required by 45 CFR § 75.335 and found in 45 CFR part 75, Appendix II.
- policies and requirements that apply to the contractor, including 45 CFR § 75.327 and other relevant award terms and conditions
- maximum amount of funds to be awarded
- cost principles to be used in determining allowable costs for cost-type contracts

The following policy applies:

- The agreement must not affect your overall responsibility for the project or accountability to the federal government.

Subrecipient Periods of Performance - Contracts

If the term of the contract and the award budget period are not the same, you may charge the contract costs to the budget period in which the contract is executed even though some of the services will be performed in a later period. These conditions apply:

- You must notify the awarding agency.
- The expected contract performance period goes beyond the current budget period.
- You have a legal commitment to settle all contractual and administrative issues. See 45 CFR § 75.327(k).
- Only costs for services provided during the period of performance are allowable.
- For rental costs for facilities and equipment charge the applicable amount in each budget period as applicable. Contact the GMS before entering into leases that will result in direct charges to the award.

To limit liability, recipients should insert a clause in contracts less than $100,000 that states that payment after the end of the current budget period is contingent on continued federal funding.

Time and Materials Contracts

Time and materials contracts may only be used if:

- there is no other appropriate contract type
- the contract includes a ceiling price that the contractor exceeds at its own risk
- the direct hours are fixed and include wages, general and administrative expenses, and profit

Procurement Methods

You must use one of the following methods of procurement:

- Micro-purchases
- Small purchase procedures
- Sealed bids
- Competitive proposal

- Noncompetitive proposal

Micro-purchase procurements are the acquisition of supplies or services when the total dollar amount is less than the micro-purchase threshold ($50,000). To the extent possible, you must distribute micro-purchases equitably among qualified suppliers. Micro-purchases do not require soliciting competitive quotations if cost is reasonable.

Small purchase procurements involve simple procurement methods for securing services, supplies, or other property less than the Simplified Acquisition Threshold ($250,000). Non-federal entities must obtain price or rate quotes from sufficient qualified sources.

Sealed bid procurements require public solicitation for bids, leading to a firm fixed price contract (lump sum or unit price) given to the bidder whose bid is the lowest in price and complies with all material terms and conditions.

Competitive proposals usually involve more than one source sending an offer. A fixed price or cost-reimbursement type contract is awarded. It is generally used when sealed bids are not appropriate. You must adhere to the following requirements when using this procurement method:

- Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical.
- Proposals must be solicited from an adequate number of qualified sources.
- You must have a written method for technical evaluations of the proposals and for selecting bids.
- Contracts must be awarded to the responsible firm whose proposal is best for the program.

You can also use the competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services. Applicant qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation.

Non-competitive proposals solicit a proposal from a single source. You may only use this method when the item is only available from a single source or in the event of a public emergency to expedite the acquisition, or when there is inadequate competition for a product, material, or service. You can get approval for non-competitive proposals from the GMO or his/her delegate.

Upon request, you are required to undergo a pre-procurement review and submit procurement documents to the HHS awarding agency or pass-through entity when:

- Your procurement procedures or operations do not comply with the procurement standards required by those regulations.
- The procurement is expected to exceed the Simplified Acquisition Threshold and is to be awarded without competition, or only one bid or proposal is received in response to a solicitation.
- A procurement that will exceed the Simplified Acquisition Threshold specifies a “brand name” product.

- A proposed award over the Simplified Acquisition Threshold is to be awarded to other than the apparent low bidder under a sealed-bid procurement.
- A proposed contract modification changes the scope of a contract or increases the contract amount by more than the amount considered to be a simplified acquisition.
- When prior written approval is required, the non-federal entity must make available sufficient information to enable review. This may include, at discretion, pre-solicitation technical specifications or documents, such as requests for proposals or invitations for bids, or independent cost estimates. Approval may be deferred pending submission of additional information by the non-federal entity or may be conditioned on the receipt of additional information. Any resulting approval does not constitute a legal endorsement of the business arrangement by the federal government nor does such approval establish the HHS awarding agency as a party to the contract or any of its provisions.

Written Standards of Conduct and Conflict of Interest

Recipients must maintain written standards of conduct covering conflicts of interest. Individuals affiliated with a recipient organization cannot participate in the selection, award, or administration of a contract supported by a federal award if they have a real or apparent conflict of interest with:

- Employees
- Officers
- Agents
- Immediate family members, spouses, or partners
- Potential employer

These individuals are prohibited from soliciting gratuities, favors, or anything of monetary value from subrecipients. However, recipients may set standards for situations where financial interest is not

agency for utilization using the SF-428-B (final) or SF-428-C (disposition). The recipient will receive disposal instructions from the HHS awarding agency.

Revocable License

In some cases, federally owned property may be made available to a recipient under what is called a "revocable license agreement." This agreement means the HHS awarding agency allows the recipient to use the property for the period of the award under the following conditions:

- The title to the property remains belongs to the federal government;
- The HHS awarding agency reserves the right to require the property to be returned to the should it be determined to be in the best interests of the federal government to do so;
- The use to which the non-federal entity puts the property does not permanently damage it for federal government use; and,
- The property is controlled and maintained in accordance with the requirements of the NoA.

Equipment

Equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit purchase cost which equals or exceeds the lesser of the capitalization level established by the recipient for financial statement purposes, or $10,000.

Please see the general requirements under 45 CFR § 75.320 and 45 CFR § 75.439 for how to manage and track equipment. Unless a statute specifically says the recipient should own the title for equipment without further obligation to the HHS awarding agency, the title must be a conditional title. Under this conditional title, the recipient must:

- Use the equipment for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project; and,
- Not restrict the use of the equipment without approval of the HHS awarding agency.
- Subject to disposition instructions provided by the HHS awarding agency, use the equipment in the project it was acquired in as long as needed, whether or not the project continues to be supported by the federal award.

Important Property Reminders

- You must classify equipment that will be permanently attached or fixed to the land as real property.
- States must use, manage, and dispose of equipment acquired under a federal award by the state in accordance with state laws and procedures.
- Real property constructed or renovated with award support may not be conveyed, transferred, assigned, mortgaged, leased, or in any other manner encumbered by the recipient, except as expressly authorized in writing by the awarding agency.

- If you default on a mortgage, you must immediately notify the GMS by telephone and in writing. If the mortgage holder intends to foreclose, you must notify the GMS in writing at least 30 days before the foreclosure action is initiated.
- The mortgage agreement must specifically allow, in the case of default, that HHS or its designee may assume the role of mortgagor (borrower) and continue to make payments.

Insurance

You must insure property and equipment acquired or improved under an award. The following policies apply:

- You must provide the same insurance coverage for property under an award as you do for other such property.
- You don't need to insure federally owned property unless required by the award terms and conditions.
- If your organization is a government agency, you may follow your own insurance requirements.
- If title to real property bought with award funds vests with your organization, you must provide the following minimum insurance coverage:
    - Title insurance policy covering the fee interest in the real property for an amount not less than the full appraised value of the property, even if federal support is partial.
    - Physical destruction insurance policy covering the full appraised value of the facility from risk of partial and total physical destruction, even if federal support is partial.
    - You must maintain the insurance policy for the duration of the federal interest in the property.

Within five days of completion or beneficial occupancy, you must submit a written statement signed by the AOR to the GMS. This statement must assure that you have purchased the required insurance policies and will maintain the insurance coverage as required above.

Self-Insurance

The awarding agency may waive one or both of the requirements above if you are effectively self-insured. If you claim self-insurance, you must provide the awarding agency an assurance that includes:

- A statement that you meet the definition of effectively self-insured. This means that you have sufficient funds to pay for any damage to the facility, including total replacement, or to satisfy any liens placed against the facility.
- The source of the funds, such as the organization's endowment or other special funds set aside for this purpose.

See 45 CFR § 75.447.

Notice of Federal Interest for Construction, Acquisition, and Modernization

A Notice of Federal Interest (NFI) is required for construction, acquisition, and modernization, except for Minor A&R. The non-federal entity (or owner, if other than the non-federal entity) must file an NFI prior to initiating construction or modernization, or when an existing facility or land is acquired with federal funds. The non-federal entity must:

- Record the NFI by the owner in the appropriate public records of the jurisdiction where the property is located. Associated fees are allowable costs.
- Provide a copy of the NFI to the HHS awarding agency.
- Accurately indicate that the property was constructed, acquired, or modernized with HHS awarding agency funds and, that during its useful life of the facility, as defined in the NFI, the HHS awarding agency's use and disposition requirements apply.
- Seek review by the HHS awarding agency to make sure it is acceptable.

The federal interest may not be conveyed, transferred, assigned, mortgaged, leased, or otherwise be encumbered or subordinated by a non-federal entity unless approved by the HHS awarding agency.

Property and Equipment Disposition

According to 45 CFR § 75.318(c), you must request disposition instructions from the awarding agency when:

- Property under the award is no longer needed for the intended purpose or you will not be using the property for other activities currently or previously supported by an awarding agency.
- Federal statutes, regulations, or awarding agency disposition instructions in the NoA do not say otherwise.

Equipment

Unless the NoA or HHS awarding agency instructions say otherwise, you must dispose of the property as follows, in accordance with awarding agency disposition instructions:

- Retain, sell, or dispose of equipment items with a current fair market value of $10,000 or less, with no further responsibility to the government. See 2 CFR § 200.313(e)(1). The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.
- Retain or sell equipment items with a current fair market value over $10,000. The following apply:
    - You pay the awarding agency the current fair market value according to the percentage of the federal share in its original cost.

- If sold, the awarding agency may allow you to deduct the lesser of $500 or ten percent of the proceeds from the federal share.
- If you organization is a non-profit institution of higher education or non-profit organization with a principal purpose of scientific research, you are exempt from any requirement to account for proceeds from a sale.

- Transfer property title to the federal government or an eligible third party. You are entitled to compensation for its share of the current fair market value.

Supplies

Your organization is assigned the title to supplies when you acquire them. If you have more than $10,000 in supplies after the award is terminated or project is completed, you must retain the supplies for use on other activities, or sell them, and then compensate the federal government for its share. See 2 CFR §200.314.

Modernization of Real Property

Modernization includes both major and minor alterations and renovations (A&R) unless otherwise stated. Modernization is not an allowable cost under the following:

- Federal awards to individuals
- Conference awards

You may not perform major A&R using federal funds or required matching or cost sharing unless

- There is specific statutory authority, and
- The NoA explicitly allows it.

Minor A&R is an allowable cost under all types of awards with prior approval under the following criteria, unless restricted in the NOFO or NoA:

- The governing statute or program regulations do not exclude it.
- The work is required to use the space more effectively to meet the program needs.
- The building has a useful life consistent with the project and is architecturally and structurally suitable for conversion.
    - If you own the property, it has a useful life consistent with the project.
    - If you lease the property, the terms and length of your lease are consistent with the project.
- Work and costs to get an initial occupancy permit is not an allowable cost. Costs must be for purposes other than human occupancy (e.g., storage).
- If the building is under construction or the A&R will take place in an incomplete structure, the costs are only allowable if:
    - It is cost-effective to perform the A&R while the building is under construction or being completed, and

  - Minor A&R costs are limited to the difference between the cost of completing the interior space for general use and the cost of adapting it for the federal award supported purpose.

- The space involved will be occupied by the project.
- National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA) requirements are followed, as applicable.

The following are not considered minor A&R:

- Costs associated with routine maintenance, painting, and repair of facilities or equipment that are normal business costs and generally charged as indirect.
- Certain costs of installing equipment, such as the temporary removal and replacement of wall sections and door frames to place equipment in its permanent location, or the costs of connecting utility lines, replacing finishes and furnishings, and installing any accessory devices required for the equipment's proper and safe utilization, unless the non-federal entity's accounting system considers these modernization costs rather than equipment costs.
- Costs of furnishings and movable equipment.

Federal Interest Involving Construction and Modernization of Leased Property

You must make sure any leased property that you propose construction or modernization costs for has a long enough lease for the full value of the federal award supported improvements to benefit the award activity and support the expected useful life of the facility. You must submit additional documentation to the HHS awarding agency in these cases:

- You must submit lease language to the HHS awarding agency prior to drawing down funds or being reimbursed.
- The property owner must consent to the proposed work, acknowledge federal interest in the property, and file a Notice of Federal Interest (NFI), if required. The lease must include, or be amended to include:

  - Your full use of and access to the leased property during the term of the lease.
  - Your agreement not to sublease, assign, or otherwise transfer the leased property, or use the property for a non-federal award-related purpose(s) without the written approval of the HHS awarding agency (at any time during the term of the lease, whether or not federal award support has ended).
  - That the lessor will inform the HHS awarding agency of any default by the non-federal entity under the lease.
  - The HHS awarding agency has 60 days from the date of receipt of the lessor's notice of default in which to attempt to eliminate the default, and that the lessor will delay exercising remedies until the end of the 60-day period.

- The HHS awarding agency intervening to ensure that the default is eliminated by the non-federal entity or another non-federal entity named by the HHS awarding agency.
- The lessor accepting payment of money or performance of any other obligation by the HHS awarding agency's designee, for the non-federal entity, as if such payment of money or performance had been made by the non-federal entity.
- If the non-federal entity defaults, the federal award is terminated, or the non-federal entity vacates the leasehold before the end of the lease term, the HHS awarding agency has the right to designate a replacement for the non-federal entity for the balance of the lease term, subject to approval by the lessor in a separate agreement with HHS, which will not be withheld except for good reason.
- Documentation of a NFI for the leased property (if required).

Intangible Property

Intangible property is property having no physical existence. These may include:

- trademarks, copyrights, patents, and patent applications
- property, such as loans, notes, and other debt instruments; lease agreements; stock; and other instruments of property ownership

Intellectual Property

HHS expects you and your PIs and PDs to make your award results and accomplishments available to the research community and the public. If the research results in inventions, the Bayh-Dole Act of 1980 and 37 CFR part 401 apply. If you follow these requirements, you have the right to retain title to any invention conceived or first actually reduced to practice.

The law and regulation promote:

- commercialization of federally funded inventions.
- free competition and enterprise without restricting future research and discovery.

The law and regulation require recipients to:

- Make efforts to develop and commercialize the technology to advance to industry for development.
- Make unpatented research products or resources available through licensing to vendors or other investigators.
- Share copyright-protected research outcomes in journal articles or other publications.

Irrevocable and Royalty-Free License

Except as otherwise provided in the NoA, you may assert copyright in any publications, data, or other copyright-protected work developed under an award. Doing so does not require awarding agency approval.

Rights in data also extend to students, fellows, or trainees under awards with an educational purpose. In this case, authors are free to assert copyright in works.

The federal government has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use material resulting from a supported project or program. This applies whether HHS funded all or part of the project. You are responsible for ensuring that any necessary copyrights obtained from your subrecipients also allow the material to be used by the federal government.

HHS may also extend this license to others for federal purposes. For example, to make it available in government-sponsored databases for use by other researchers. The NoA addresses the specific scope of awarding agency rights. See 45 CFR § 75.322(d), 45 CFR § 75.365.

Access to Research Data

A federal agency may use award-related research data in developing an agency action that has the force and effect of law. If so, 45 CFR § 75.322(e)(1) requires recipients to release the research data to the awarding agency to support a FOIA request. See 45 CFR § 75.322(e). See also:

- the definition of research data at 45 CFR § 75.322(e)(3).
- the definition of records, which includes research data at 45 CFR § 5.3.

Excluded are:

- drafts of scientific papers
- plans for future research
- peer reviews
- communications with colleagues
- physical objects (e.g., laboratory samples, audio or video tapes)
- trade secrets
- commercial information
- materials necessary to be held confidential by a researcher until publications in a peer-reviewed journal
- information that is protected under the law such as intellectual property
- personnel, medical files, and similar files, if disclosure would constitute an unwarranted invasion of personal privacy
- information that could be used to identify a particular person in a research study

If the data are publicly available, HHS directs the requester to the public source. Otherwise, the awarding agency FOIA coordinator handles the request, consulting with the recipient and the PI. The recipient may charge a reasonable fee to cover their costs to respond. HHS may do the same.

This requirement to release research data does not apply to for-profit organizations or to research data produced by state or local governments. However, if a state or local government recipient contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, those data are subject to disclosure.

Patents and Inventions

Inventions conceived or first actually reduced to practice under awards are governed by the Bayh-Dole Act, 35 USC 200-212, and implementing regulations at 37 CFR part 401.

The regulations at 37 CFR § 401 apply if both the following are true:

- Inventions result from federally funded research.
- Your organization or your subrecipient or contractor is a university, non-profit entity, governmental entity, or small or large business.

See iEdison for more information.

Royalties and Licensing Fees from Copyrights, Inventions, and Patents

You may commercially apply intellectual property and require payments for its use.

Unless the NoA says otherwise, you do not have to report program income earned from license fees and royalties. This includes copyright-protected material, patents, patent applications, trademarks, and inventions made under an award.

You may pay royalties to others as an allowable direct cost.

See 45 CFR § 75.448.

Invention Reporting

For information, see Invention Reports at iEdison. See also 37 CFR part 401.

Seek the advice of the GMS about:

- Whether an invention made under a career development award is a subject invention
- The extramural technology transfer policy
- Reporting of inventions

Publications and Acknowledgement of Support

Publications

HHS encourages you to publish the results and accomplishments of awards. You can publish your results without prior approval. These policies apply, unless otherwise specifically addressed in your NoA:

- You may assert copyright in scientific and technical articles based on data produced under the award.

- You may transfer copyright to the publisher or others for journal publication or other professional activities.
- All copyrights, including transfers, are subject to a royalty-free, non-exclusive and irrevocable license to the federal government, and any agreement must include that the assignment is subject to the government license.
- You must account for royalties and income earned from a copyrighted work as specified by the awarding agency.
- You must submit one copy of each publication resulting from work under an award with the annual or final progress report.
- If you plan to issue a press release about award-supported activities, you must notify the awarding agency in advance to allow for coordination.

Stevens Amendment

HHS will include the following information in your NoA and NOFO. When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents – such as toolkits, resource guides, websites, and presentations – describing the projects or programs funded in whole or in part with HHS funds, the recipient must clearly state:

- the percentage and dollar amount of the total costs of the program or project funded with federal money; and
- the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

The NoA may provide further instructions and language to use.

Acknowledgement of Support

When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents – such as tool-kits, resource guides, websites, and presentations (hereafter "statements") – describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

- the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
- the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

- If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources: This [project/publication/program/website, etc.] [is/was] supported by the [full name of the OPDIV/STAFFDIV] of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling $XX

with 100 percent funded by [OPDIV/STAFFDIV]/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by [Name of the Awarding Agency]/HHS], or the U.S. Government. For more information, please visit [Award Agency Stevens Amendment website, if available].

The HHS Grant or Cooperative Agreement IS partially funded with other nongovernmental sources:

- This [project/publication/program/website, etc.] [is/was] supported by the [full name of the HHS Awarding Agency] of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling $XX with XX percentage funded by [full name of the HHS Awarding Agency]/HHS and $XX amount and XX percentage funded by non-government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by [Awarding Agency]/HHS, or the U.S. Government. For more information, please visit [Award Agency's Stevens Amendment website, if available].

Oversight and Monitoring

Subrecipient Flow-Down Requirements

The GPS applies to subrecipients and contractors. This includes consortium agreements where the recipient collaborates with other organizations.

The terms and conditions of awards flow down to subawards and subrecipients unless a particular GPS policy or award term and condition specifically says otherwise.

You have to have a formal written agreement with each subaward recipient. You must include applicable GPS requirements in your subaward agreements. Agreements must meet programmatic, administrative, financial, and reporting requirements. At a minimum, the subaward agreement must include:

- the PI or PD and subrecipient staff responsible for the program activity, including roles and responsibilities
- program administration and monitoring procedures
- policies and process for subrecipient funding, such as allowable costs, expenditure approval, funding caps, payment method and schedule, required documentation
- travel, salaries, and fringe benefit policies and procedures
- applicable public policy requirements and applicable assurances and certifications and provisions indicating the intent of the subrecipient to comply, including submission of applicable assurances and certifications
- conflict of interest requirement
- provisions regarding property, program income, publications, reporting, record retention, and audit

Reporting

You must submit financial, performance, and other reports. Not meeting reporting requirements could result in enforcement actions. These actions include those in the Remedies for Noncompliance section of the GPS including 45 CFR §§ 75.371-.380, and reporting to Responsibility/Qualification in SAM.gov (formerly FAPIIS).

Federal Financial Reports

You submit Federal Financial Reports (FFRs) through the Payment Management System (PMS).

How often you need to submit an FFR is in the NoA. This can range from quarterly to annually. Higher risk recipients may report more often.

Updated information on FFRs is at the Program Support Center for PMS.

You may need to revise your FFR in some cases. You must submit a revised FFR to HHS immediately for overcharges. You also must submit revised FFRs as soon as possible for expenditures that you did not report before. You must explain why the revision is necessary and how you will prevent this in the future. For annual FFRs, revisions are due no later than 9 months from the end date. For final FFRs, revisions are due no later than 6 months after the end date. The agency will tell you how your award will be updated if revised FFRs are accepted.

PLEASE NOTE: The GMS may not accept a revised interim FFR submitted by the recipient that claims additional expenditures after one year from the end of the reporting period (regardless of when the original report was actually submitted).

Progress Reports

You submit progress reports through GrantSolutions or NIH eRA.

The reporting schedule and requirements are in the NoA. Schedules can range from quarterly to annually. Higher risk recipients may report more often.

See 45 CFR § 75.342(b)(1).

Other Reporting

Intellectual Property Reporting

If you have a research award, you must report on patents and inventions through iEdison (iEdison | NIST).

Each competing continuation application and progress report (when used in lieu of a non-competing continuation application) must indicate whether or not any subject inventions were made during the preceding budget period.

Invention Reporting

You must report on inventions. The iEdison website includes information on invention reports. See also 37 CFR part 401.

You must also submit an annual invention use report for:

- all inventions to which title has been elected, and
- inventions that have been licensed but not patented (research tools).

The utilization report provides a way to evaluate the extent of commercialization of subject inventions, consistent with the objectives of the Bayh-Dole Act.

Contact the GMS for questions, including:

- if inventions under a career development award is a subject invention
- the extramural technology transfer policy
- reporting and use of inventions

Real Property Reporting

Construction awards must report the status of real property each year for as long as the federal government retains an interest, up to 15 years. If the federal interest lasts beyond 15 years, the awarding agency or pass-through entity may require the recipient to report at various multi-year frequencies.

Non-Compliance

Failure to Submit Reports

When you fail to submit required reports within the time allowed, the awarding agency may take enforcement actions including those in the Remedies for Noncompliance section of the GPS.

Overdue Reports

An awarding agency may give a waiver, if permitted by law, or extension if a report is overdue and the reason is beyond your control.

Failure to meet a new date may result in the awarding agency taking enforcement actions.

Submission of a required report does not necessarily fulfill your obligation. Reports must meet content requirements. You must provide the revised report by the indicated due date to avoid enforcement actions.

Fraud, Waste, and Abuse

Fraud, waste, or abuse related to HHS awards or use of award funds should be reported to HHS. Fraud, waste, and abuse may be reported:

- By telephone at 1-800- HHS-TIPS (1-800-447-8477) or TTY at 1-800-377-4950
- Fax at 1-800-223-8164. Forms for use are available at the OIG website.
- E-mail at HHSTips@oig.hhs.gov
- USPS mail at U.S. Department of Health and Human Services, Office of Inspector General, Attn: OIG Hotline Operations, P.O. Box 23489, Washington, DC 20026.

If you report, you are not required to give your name, but if you do, your identity is kept confidential.

Fraud, waste, and abuse includes embezzlement, misuse or misappropriation of award funds or property, and false statements or claims. Examples include:

- theft of award funds for personal use
- using funds for non-award-related purposes
- theft of federally owned property or property acquired or leased under an award
- charging inflated building rental fees for a building owned by the recipient
- submitting false financial report
- submitting false financial data in bids submitted to the recipient

The federal government may pursue administrative, civil, or criminal action under a variety of statutes that relate to fraud and false statements or claims. Even if no award is made, you may be subject to penalties if information submitted as part of an application is found to be false, fictitious, or fraudulent. See the statutes referenced in Appendix D and Appendix E for statutes related to fraud, waste, and abuse.

Paperwork Reduction Act

The Paperwork Reduction Act (PRA), 44 USC 35, as implemented by 5 CFR part 1320, is designed to:

- Reduce, minimize, and control burdens
- Maximize the practical use and public benefit of the information created, collected, disclosed, maintained, used, shared, and disseminated by or for the federal government

OMB clearance is required for awarding agency collection of information. This includes all application or reporting forms, whether paper or electronic. Below is information about how the PRA is implemented.

Federally Sponsored Surveys

Recipients may use award funds to collect information through surveys or questionnaires:

- When the collection of information is not a primary objective of the award but is incidental to, or is an integral part of, an award-supported activity
- When the collection of information is a primary objective of the award, but such information is not intended primarily for use by the federal government, or a party designated by the federal government

When information is collected, according to either of the two conditions above, you may not represent what the information is being collected for, or in association with, unless:

- You receive awarding agency approval, and
- You follow OMB report clearance procedures, when required. When OMB approval is required, the awarding agency, rather than the recipient, will obtain the necessary clearance.

OMB clearance is required whenever the HHS awarding agency sponsors the use of a reporting form or plans to collect identical kinds of information or data from 10 or more people.

Information collection is considered HHS awarding agency-sponsored when any of the following circumstances exist:

- The awarding agency allows you to state that the information is being collected for, or in association with, the awarding agency.
- You use the report form or collect information that an awarding agency has requested for the planning, operation, or evaluation of its program.
- The award terms and conditions provide awarding agency approval of the study design, questionnaire content, or data collection procedure.
- The award terms and conditions provide for either submission of the data for individual respondents or the preparation and submission of special requested tabulations to the awarding agency.

HHS and OMB approval may also be required if the use of a report form or plan presents a relatively high risk of unwarranted privacy invasion.

Collection of the following types of information is not subject to the clearance requirements at 5 CFR § 1320:

- health professions data as described in Section 708 of the Public Health Service (PHS) Act
- tests or examinations of individuals for determining knowledge, abilities, or aptitudes, and the collection of information for identification or classification in connection with such tests
- information from patients to be used exclusively for research of or direct treatment of a clinical disorder; for the interpretation of biological analyses of body fluids, tissues, or other specimens; or for identification or classification of such specimens

See 5 CFR § 1320 for additional clearance requirement exemptions.

Remedies for Noncompliance

If you do not comply with award terms and conditions, the awarding agency or pass-through entity may take enforcement actions, in accordance with applicable statutes, regulations and policy.

You usually have an opportunity to correct the deficiencies unless there is a serious threat to public health or welfare concerns. The awarding agency may take necessary proactive steps to protect the federal government's interests. Awarding agencies may take any action allowed by law, including those below. See 45 CFR §§ 75.371-.380.

Implementation of Specific Award Conditions

An awarding agency or pass-through entity may place specific conditions on an award. The purpose is corrective. This remedy may be used if you:

- fail to comply with the terms and conditions of an award
- fail to meet expected performance goals

- are not otherwise responsible

When the awarding agency or pass-through entity imposes specific award conditions, they will notify you of:

- the nature of the conditions
- the reason why
- the type of corrective action needed
- the time allowed for completing corrective actions
- the method for requesting reconsideration of the conditions

Examples of specific award conditions are removing a PD/PI, converting your award from advance payment to reimbursement, and adding reporting requirements.

See 45 CFR § 75.207.

Disallowed Costs

HHS may disallow all or part of the cost of an activity or action determined not in compliance. This can happen at any time during the award or after closeout.

You must repay disallowed costs with non-federal funds or an offset from future year funds. You may appeal disallowed costs.

Other Remedies

Depending on the nature of the deficiency, an awarding agency also may:

- temporarily withhold payment
- withhold further awards for the project or program

Suspending Award Activities or Termination

Consistent with 45 CFR § 75.372(a), an awarding agency or pass-through entity may suspend, pending corrective action, or terminate all or part of your award activities pending your corrective action if you fail to materially comply with the award terms and conditions. See 45 CFR part 75 D – Remedies for Noncompliance.

The HHS awarding agency generally will suspend, rather than immediately terminate, a federal award. This allows you an opportunity to take appropriate corrective action before making the decision to terminate. The HHS awarding agency may decide to terminate the federal award if you do not take appropriate corrective action during the period of suspension.

Under a suspension, the HHS awarding agency will provide you:

- What project activities, if any, will take place during the period of suspension.
- What costs the HHS awarding agency will reimburse if the enforcement action is ultimately lifted and the award resumed.
- What corrective actions must occur during the enforcement action.

- The HHS awarding agency's intent to terminate the award if the non-federal entity does not meet the conditions of the enforcement action.

The HHS awarding agency may terminate without first suspending the federal award if the problem is serious enough or if public health or welfare concerns require immediate action. Termination for cause may be appealed under the HHS awarding agency and HHS's federal award appeals procedures.

A federal award also may be terminated, in whole or partially, by the recipient or by the HHS awarding agency with the consent of the recipient. If you decide to terminate a portion of a federal award, the HHS awarding agency may determine that the remaining portion will not accomplish the original purpose. In this case, you will be advised of the possibility of termination of the entire federal award and will be allowed to withdraw your termination request. If you do not withdraw your request for partial termination, the HHS awarding agency may terminate the entire federal award for cause. See 45 CFR § 75.372.

When an HHS awarding agency terminates a federal award prior to the end of the period of performance due to the non-federal entity's material failure to comply with the federal award terms and conditions, the HHS awarding agency must report the termination to the OMB-designated integrity and performance system accessible through the Responsibility/Qualification System in Sam.gov. This information will be reported after the non-federal entity has exhausted its opportunities to object or challenge the decision or has not within 30 calendar days after being notified of the termination informed the HHS awarding agency that it intends to appeal the decision to terminate. For full information on reporting termination in FAPIIS, see 45 CFR § 75.372(b).

HHS applies appeal rights in line with 45 CFR § 75.374. Appeals rights exist for termination actions that are a remedy for non-compliance.

Suspension or Debarment

An awarding agency may initiate suspension or debarment proceedings under 2 CFR part 180 and HHS awarding agency regulations at 2 CFR part 376. A pass-through entity may recommend that the awarding agency do so for a subaward.

Closeout

To close an award, you do several steps to include submitting a final report. Ask your GMS and review the closeout provisions HHS now follows at 2 CFR § 200.344. The awarding agency will resolve any amounts due to them or to you.

Upon the completion date of an award, you have 120 days to liquidate all financial obligations and submit all required reports, including a final FFR, final progress report, tangible and real property reports (if needed), and Final Invention Statement and Certification (if needed). The GMO or their delegate may give an extension upon a written request. Not submitting timely and accurate reports can affect future funding. HHS may close out your award on its own if you fail to provide your reports on time.

HHS may still disallow costs or recover funds based on an audit or review after your award is closed out. After closeout, you still have to return any funds due to HHS because of refunds, corrections, indirect cost rate adjustments, or other transactions.

You still need to account for property acquired on your award and follow disposition and record retention requirements after close out. HHS adopted two 2 CFR § 200 provisions about equipment and salary disposition:

- 2 CFR § 200.313(e) - Equipment: Increases from $5,000 to $10,000 the value of equipment that at the end of the grant period "may be retained, sold, or otherwise disposed of with no further responsibility to the Federal agency." The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.
- 2 CFR § 200.314(a) - Unused Supplies: Increases from $5,000 to $10,000 the value of unused supplies that recipients of Federal funds are required to sell at the end of the grant award period as well as clarifying that this amount is the total amount of remaining unused supplies, not just like items.

See 45 CFR §§ 75.317-323 for other disposition requirements. See 45 CFR §§ 75.361-75.365 for record retention requirements. Keep in mind the above changes in equipment and supply costs adopted by HHS in 2 CFR § 200.

Final Federal Financial Report (FFR)

A final FFR is required for all of the following:

- terminated awards
- awards transferred to new recipients
- awards at the end of a period of performance

Final FFRs must:

- account for all funds awarded during the period of performance
- have no unliquidated obligations
- say the exact unobligated balance

In some cases, you may need to submit a revised FFR. When a revised final FFR results in additional recipient claims, the awarding agency will consider approval if:

- You show why the revision is needed, explains, and implements internal controls to avoid similar future situations
- The charge is allowable under the award
- There is an unobligated balance for the budget period that can cover the claim
- The funds are still available

- The awarding agency receives the revised FSR within 6 months of its original due date

Final Progress Report

A final progress report is required for all of the following:

- terminated awards
- awards at the end of the performance period

Submit final progress reports as directed in your NoA.

Use the awarding agency instructions. At a minimum, they include:

- a summary of progress towards achieving the stated aims
- significant results, positive or negative
- publications

If you submit a competing continuation application, the final progress report requirement may be met by the information included in that application.

Final Invention Statement

For research awards, you must submit a Final Invention Statement and Certification (HHS 568). HHS requires this statement even if the award does not result in any inventions. The HHS 568 is at the iEdison Web site at iEdison | NIST.

The HHS 568 lists all inventions conceived or initially reduced to practice under the award. The form must be signed by the PI or PD and AOR. The form covers the period from the original award start date through the award end date. If there were no inventions, the form should indicate “None.”

Post-Closeout

After award closeout, you still have obligations for record retention, property accountability, and financial accountability. See 45 CFR §§ 75.317-.323 and 75.343.)

Record Retention and Access

You must keep financial, supporting, and statistical records, and all other records considered pertinent to an award.

The retention periods are three years after sending:

- the final FFR for closed awards
- quarterly or annual reports for awards renewed quarterly or annually

These periods are extended until the conclusion of any litigation matters, claims, or audits and audit findings are fully resolved.

You must allow records access to the:

- HHS Awarding Agency
- Inspector General
- Comptroller General
- Pass-through Agency

See:

- Retention requirements for records (45 CFR § 75.361)
- Access to records (45 CFR § 75.364)
- Restrictions on public access to records (45 CFR § 75.365)

Debt Collection

During or after closeout, HHS may find that you received more than the correct amount or that you misspent funds. This may result from disallowed costs, recovery of funds, unobligated balances, or other situations. In these cases, HHS will send you a request for repayment. Debts to HHS agencies are considered delinquent 30 days after you are notified. You have 90 calendar days to repay the amount.

If you do not pay back the funds in 90 calendar days, the HHS awarding agency may reduce your debt by:

- making an administrative offset against payments on other HHS awards
- withholding advance payments
- taking other action allowed by law

HHS must, by law, collect debts due to the federal government. Unless prohibited by law, HHS is also required to charge interest on delinquent debts.

See Collection of Amounts Due (45 CFR § 75.391) for more.

You may appeal a request for repayment. If appealed, HHS suspends the collection pending a final appeal decision. If denied, in whole or in part, HHS will charge interest on the debt starting with the date of the original request for repayment.

Refer to the HHS Claims Collection (45 CFR part 30) and the Program Support Center's Debt Management Collection System at https://pms.psc.gov/ for more on collection of debts.

Appeals

Awarding agencies may have their own appeals procedures. See also the procedures of the Departmental Appeals Board (45 CFR part 16).

Awarding agencies and recipients may use alternative dispute resolution (ADR). ADR can reduce the cost, time, and level of dispute involved in appeals.

For more information on appeals, see Opportunities to Object, Hearings, and Appeals (45 CFR § 75.374) and the Departmental Appeals Board website.

Single Audit

An audit is a review to verify if accounting and control systems reasonably assure:

- proper financial operations
- timely, fair, and correct financial reports
- compliance with applicable laws, regulations, and terms and conditions of award
- resources are managed and used economically and efficiently
- desired results and objectives are being achieved effective
- recipients and subrecipients follow the audit requirements of 45 CFR part 75, subpart F.

Audit Requirements

As of October 1, 2024, you and your subrecipients must have an audit if either spends $1,000,000 or more in federal awards during its fiscal year (see 2 CFR § 200.501). Even if an audit is not required, keep records available for review by federal officials.

You must use an independent auditor who must follow the Government Auditing Standards and the audit requirements in 45 CFR 75, subpart F. Audit costs are allowable and often covered by the indirect cost rate.

Pass-through entities are responsible for establishing audit requirements, to ensure compliance by subrecipients.

HHS may request more audits, if necessary.

Types of Audits

Program Specific Audit**:** test a single program. Refer to 45 CFR § 75.507.

- Single Audit: The auditor uses a risk-based approach to identify major programs which the auditor tests and provides an opinion on compliance. See 45 CFR part 75, subpart F.
- Financial Related Audit: Specific to for-profit organizations. Must be conducted in accordance with the Government Auditing Standards.

Audit Options

If an audit is required, the following options are available:

For Governments, Indian Tribes, Institutions of Higher Education, and Non-Profits

- Only one program: If federal awards are expended in only one program, the program-specific audit is an option.
- Multiple programs: If federal awards are expended from more than one program, a single audit is required.

For-Profit Organizations

- Only one program: If federal awards are in only one program, then they may opt for a program-specific audit or financial related audit of the award.
- Multiple programs: If federal awards are in more than one program, then they must have a single audit or financial related audit of all awards.

Contractors

Audit requirements for federal awards do not apply to contractors with annual HHS awards less than $1,000,000. See 2 CFR § 200.501.

Foreign Entities

Audit requirements and processes for foreign entities will be addressed in your NOFO and NoA.

Recipient Responsibilities

- Procure or otherwise arrange for the required audit and make sure it is performed properly. See 45 CFR § 75.509.
- Provide the auditor with access to needed personnel, accounts, books, records, supporting documentation, and other information.
- Prepare financial statements, including the schedule of federal award expenditures. See 45 CFR § 75.510.
- Make sure the audit is submitted within 9 months after your fiscal year end. See 45 CFR § 75.512.
- Promptly follow up and take corrective action on audit findings.

See 45 CFR § 75.508 for a listing of auditee responsibilities.

Audit Findings and Resolution

Non-Federal entities and their subrecipients must follow up and take corrective action on all audit findings. This includes preparing:

- a summary schedule of prior audit findings. See 45 CFR § 75.511(b).
- a corrective action plan. See 45 CFR § 75.511(c).

Requirements

The summary schedule and the corrective action plan must include:

- reference numbers the auditor assigns to audit findings under 45 CFR § 75.516(c)
- the fiscal year in which the finding initially happened
- findings relating to the financial statements required to be reported under Government Auditing Standards

See 45 CFR § 75.511.

Report Submission

Reports for non-profit recipients are submitted to the Federal Audit Clearinghouse (FAC). For-profit and foreign recipients submit reports to ARD or the Centers for Disease Control (CDC) (if CDC is the awarding agency).

The HHS assignment system receives single audit reports from the FAC and assigns audit findings to the awarding agencies for resolution.

Both you and your auditors must complete and submit your portions of the reporting package to FAC. They are due within 30 calendar days after receipt of the auditor's report or nine months after the end of the auditee's fiscal year.

See 45 CFR § 75.512.

Delinquent Audits

HHS will follow up to obtain audit reports that are delinquent.

If required audits are not completed or do not follow 2 CFR part 200 and 45 CFR part 75, audit costs may be disallowed or other sanctions may be taken.

HHS Office of Inspector General

The HHS Office of Inspector General (OIG) audits programs and their recipients to ensure funds are used correctly and guard against fraud and waste. The OIG:

- can freely access records and information
- can request information and documents through subpoenas
- acts as the National Single Audit Coordinator, giving audit guidance to HHS agencies and recipients

You need to have strong internal controls and guidelines must be in place to ensure proper use of federal funds.

Documentation

Ensure that the basis for valuing services, materials, equipment, buildings, and land can be verified. Make sure your records, including those from your subrecipients, can support the value. If using volunteer services, document their time and attendance as you would for regular employees.

Additional Information

Cooperative Audit Resolution and Management Decisions

Cooperative audit resolution is a structured approach that brings the appropriate stakeholders together to address audit findings and proposed corrective actions. Non-federal entities must follow this approach to ensuring timely and appropriate resolution of audit findings and recommendations. The non-federal entity must initiate and proceed with corrective action as quickly as possible and corrective action should begin no later than upon receipt of the audit report.

The HHS awarding agency will coordinate with the non-federal entity during the cooperative audit resolution process. The HHS awarding agency will:

- Follow-up on audit findings to ensure the non-federal entity takes appropriate and timely corrective action.
- Issue a management decision, on all assigned reporting packages with audit findings within six months of the date the FAC accepts the reporting package.
- Issue sanctions when the non-federal entity fails to correct conditions identified by audits that are likely to cause improper payments, fraud, waste or abuse.

The HHS awarding agency or pass-through entity responsible for issuing a management decision must do so within 6 months of acceptance of the audit report by the FAC. The management decision provides timely information to the non-federal entity regarding where the HHS awarding agency is in evaluating findings and related corrective actions. The HHS awarding agency management decision will include:

- whether or not the audit finding is sustained
- the reasons for the decision
- the expected action the non-federal entity must take to repay disallowed costs, make financial adjustments, or take other action
- a timetable for follow-up if then non-federal entity has not completed corrective action
- a description of the appeal process available to the non-federal entity

Appendix A: Awarding Agencies Overview

Below is an overview of HHS awarding agencies. Visit HHS Organization Chart | HHS.gov for more.

GPS refers to "Public Health Service (PHS) agencies." We have marked them below.

Agency	Overview	Support
Administration for Children and Families (ACF) www.acf.hhs.gov	Promotes economic and social well-being of children, families, and communities.	• childcare for low-income families • foster care and adoption • child abuse and domestic violence prevention
Administration for Community Living (ACL) www.acl.gov	Advocates for older adults, people with disabilities, families, and caregivers to help all people live independently and participate in their communities.	• health, wellness, and nutrition • self-advocacy • connecting people to services • retirement planning • American Indian, Alaska Native, and Native Hawaiian nutrition and older adult support
Agency for Healthcare Research and Quality (AHRQ) www.ahrq.gov PHS agency	Improves quality, safety, accessibility, equitability, and affordability of US health care.	• digital healthcare research • PSNet (Patient Safety Network) • quality indicators
Administration for Strategic Preparedness and Response (ASPR) www.aspr.hhs.gov	Assists the country in preparing for, responding to, and recovering from public health emergencies and disasters.	• development and stockpiling of medical countermeasures • pandemic preparedness
Assistant Secretary for Technology Policy/Office of the National Coordinator for Health Information Technology (ASTP) www.healthit.gov	Administers health IT efforts and is a resource to the entire health system to support the adoption of health information technology and the promotion of nationwide, standards-based health information exchange to improve health care.	• advance development and use of health IT capabilities • establish expectations for data sharing
Centers for Disease Control and Prevention (CDC) www.cdc.gov PHS Agency	Protects against health and public health, safety, and security threats. Their focus is both foreign and domestic.	• immunization services • monitoring and preventing disease outbreaks • disease prevention strategies • workplace safety

Centers for Medicare & Medicaid Services (CMS) www.cms.gov	Advances health equity, expanding coverage, and improving health outcomes.	• clinical standards and quality • minority health equity • meaningful measures
Food and Drug Administration (FDA) www.fda.gov FDA Grants and Cooperative Agreements Page PHS Agency	Protects public health by ensuring the safety of human and veterinary drugs, biological products, medical devices, cosmetics, and food.	• food safety • animal feed safety • laboratory systems • scientific conferences
Health Resources and Services Administration (HRSA) www.hrsa.gov PHS Agency	Provides access to essential health care services for people who are low-income, uninsured, or live in areas with limited access.	• rural health • maternal and child health • opioid response • health workforce training • telehealth
Indian Health Service (IHS) www.ihs.gov PHS Agency	Ensures comprehensive, culturally appropriate personal and public health services are available to American Indians and Alaska Native people.	• community health • behavioral health • environmental stability • school health
National Institutes of Health (NIH) grants.nih.gov PHS Agency	Seeks knowledge about the nature and behavior of living systems. Applies it to enhance health, lengthen life, and reduce illness and disability.	• biomedical and behavioral research • research training • research infrastructure and communications
Office of the Assistant Secretary (OASH) www.hhs.gov/ash PHS Agency	Seeks to serve the public through responsive public health actions to promote healthy and safe environments and prevent harmful exposures.	• minority health • family planning • adolescent health • women's health • infectious disease and HIV/AIDS policy • research integrity
Office of the Inspector General (OIG) www.oig.hhs.gov	At the forefront of the Nation's efforts to fight waste, fraud and abuse and to improving the efficiency of Medicare, Medicaid and more than 100 other Department of Health & Human Services (HHS) programs.	• Medicare/Medicaid oversight • improved efficiency • fraud, waste, abuse detection

Substance Abuse and Mental Health Services Administration (SAMHSA) www.samhsa.gov PHS Agency	Improves the quality and availability of substance abuse prevention, addiction treatment, and mental health services.	• substance abuse and mental health services.

For awarding agency staff and recipient roles and responsibilities, see the Introduction and General Information section.

Appendix B: Abbreviations and Glossary

Abbreviations

Please see abbreviations listed in 45 CFR part 75. The abbreviations are used by the HHS Financial Assistance Community. Although not all of the terms are in the GPS, they may be useful to applicants and recipients.

Glossary

This glossary defines terms commonly used in the HHS GPS. These definitions are for purposes of clarity and do not replace controlling definitions in applicable statutes and regulations.

acquisition cost	The total invoice price of items, counting costs for changes or accessories or additions to make them work for their intended use. Costs like setup, shipping, taxes, and insurance can be included or excluded based on the recipient's usual accounting methods. The term doesn't cover rental or property modification costs.45 CFR § 75.2 Acquisition cost
accrual basis	Accrual accounting records revenue and expenses when the transaction happens, not when money is paid.
administrative requirements	Common practices in managing awards like financial accountability, reporting, equipment management, and records retention.
advance payment	A payment made to a recipient before they spend the money or based on set payment schedules. 45 CFR § 75.2 Advance payment
allocable cost	An allocable cost relates to a specific project or activity based on the relative benefits it provides. It's allocable to a federal award if: • It's specifically for the award. • It benefits both the award and other tasks, and can be distributed based on those benefits. • It's needed for the organization's overall functioning. 45 CFR § 75.405 Allocable costs
allowable cost	Allowable costs are: • Reasonable for the award's purpose. • Allocable. • Within the federal cost principles or NoA guidelines. • In line with the recipient's consistent policies, covering both federal and non-federal activities. • Consistently treated as either a direct or indirect cost. • Based on standard accounting principles. • Not used in another federal award, unless statute says otherwise. 45 CFR § 75.403 Factors affecting allowability of costs

alteration and renovation (A&R)	Alteration and renovation involve changing the inside or features of a facility or installed equipment to enhance its current use or adapt it for a new purpose. It can include improvements, remodeling, or modernization but is different from construction or major permanent upgrades.
alternative dispute resolution (ADR)	A method to solve disagreements without going to court. It aims to resolve issues faster, cheaper, and in a less confrontational way, preventing them from becoming bigger problems that need formal legal action.
applicable credit	Receipts that offset or reduce direct or indirect costs. Typical examples include purchase discounts, rebates, or allowances; recoveries or indemnities on losses; insurance refunds; and adjustments of overpayments or erroneous charges. 45 CFR § 75.406 Applicable credits
application	A request for financial support of a project or activity submitted on specified forms and in accordance with awarding agency instructions. See Types of Applications.
approved budget	The spending plan for a project funded by an award. This budget has both federal funds and, if applicable, non-federal funds like cost-sharing. If both types of funds are in the budget, the recipient must spend them in the same ratio as they appear in the total budget. See also 45 CFR § 75.2 Budget
assurance	A written statement by an applicant, normally included with the application, that it will follow a particular requirement if there is an award.
audit resolution	The process of resolving audit findings, including those related to management and systems deficiencies and monetary findings like questioned costs. See also 45 § CFR 75.2 Cooperative audit resolution.
award	The document that provides the awarding agency funds to a recipient to carry out an approved project, based on an approved application. In the GPS, award means both grants and cooperative agreements. 45 CFR 75.2 Federal award
awarding agency	The agency responsible for making, monitoring, and overseeing awards. For changes in award terms or for approval requests, the reference may be to the GMS. See also 45 § CFR 75.2 Federal agency.
award-supported project	Activities described in an application or in a subsequent submission that are approved by an awarding agency for funding, even if federal money isn't the sole financial support for them.
award terms and conditions	The legal requirements set by the awarding agency for the award. These can come from laws, regulations, policies, or the NoA. The NoA might also add specific conditions to ensure the award's goals are met, enable post-award management, save funds, or protect federal interests.
budget periods	The period of time (usually 12 months each) into which a period of performance is divided for budgetary and funding purposes. Funding of individual budget periods sometimes is referred to as “incremental funding.”

carryover	Unspent federal funds from a particular budget period that can be transferred and used in the next budget period used to cover allowable expenses in that subsequent period. Funds that have been committed but not yet spent (obligated but unliquidated) are not classified under carryover.
cash basis	An accounting method in which revenue and expenses are recorded on the books of account when received and paid, respectively, without regard to the period in which they are earned or incurred. It is different than accrual basis.
change of recipient	Transfer of the legal and administrative responsibility for an award from one legal entity to another before the end of the period of performance.
closeout	The process used by an awarding agency to determine whether all administrative actions and work required under the award have been completed by the recipient and the awarding agency. 2 CFR § 200.344
cognizant agency	The federal agency that, on behalf of all federal agencies, reviews, negotiates, and approves cost allocation plans, indirect cost rates, and similar rates. They monitor non-federal audit reports; conduct federal audits as necessary; and resolve cross-cutting audit findings. The cognizant agency under applicable cost principles and under 45 CFR part 75, subpart F may be different for a given recipient. 45 CFR § 75.2 Cognizant agency for indirect costs
competition	A process in which applications undergo a merit review and are evaluated against established evaluation criteria in the NOFO.
completion date	The date on which all work under an award is completed or the date in the NoA (as amended) on which federal sponsorship ends (i.e., the end of a period of performance).
consortium agreement	A formal agreement whereby a project is carried out by a recipient and one or more other organizations that are separate legal entities. Under the agreement, the recipient must perform a substantive role in the conduct of the planned project and not merely serve as a conduit of funds to another party or parties. Consortium agreements are considered subawards.
contract under an award	A written agreement between a recipient and a third party to acquire commercial goods or services. 45 CFR § 75.2 Contract
construction	A project to support the initial building or major alteration and renovation like large-scale modernization or permanent improvement of a facility.
consultant	An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. Also includes a firm that provides paid professional advice or services.
cooperative agreement	A financial assistance support mechanism used when there will be substantial federal programmatic involvement. Substantial involvement means that the awarding agency's program staff will collaborate or participate in project or program activities as specified in the NoA. 45 CFR § 75.2 Cooperative agreement

copyright	Protection provided by statute (Title 17, U.S. Code) to the authors of "original works of authorship," including literary, dramatic, musical, artistic, and certain other intellectual works, including computer programs. This protection applies to both published and unpublished works.
cost analysis	The systematic review of a budget proposal to: • Detail and assess cost components. • Ensure costs are necessary, reasonable, and allocable. • Confirm alignment with federal guidelines, ensuring no unallowable expenses.
cost sharing	See "matching or cost sharing."
Departmental Appeals Board	The DAB is a board within HHS that impartially addresses disputes from HHS assistance programs. It offers a fair hearing process for challenges to certain grants management decisions, with its role and rules outlined in 45 CFR part 16. 45 CFR § 75.2 Departmental Appeals Board
direct costs	Costs directly linked to a specific project, instructional activity, or other institutional activities, which can be accurately and easily allocated to those activities. 45 CFR § 75.413 Direct costs
domestic organization	A U.S.-based public or private entity, subject to U.S. laws, responsible for the legal and financial management of awarded funds and the execution of the supported activities.
Entity Identification Number (EIN)	A 12-character code in PMS comprising three parts: the first character indicates if the recipient is an organization or individual; the following 9 characters represent the TIN for organizations or the SSN for individuals; the final 2 characters differentiate between organizational entities with the same or multiple EINs, denoting subsidiaries, branches, or other subdivisions.
equipment	A tangible item with a lifespan exceeding 1 year and a cost of $5,000 or more per unit, or below the recipient's capitalization threshold, whichever is lower. 2 CFR § 200.1 Equipment
excess property	Property that, as decided by the head of the awarding agency or its representative, is no longer needed for the agency's functions or responsibilities. 45 CFR § 75.2 Excess property
exempt property	Tangible personal property bought either entirely or partly with federal funds, where the awarding agency has the legal authority to vest title to the recipient without additional obligations to the federal government. 45 CFR § 75.319 Federally owned and exempt property
expanded authorities	Permissions granted to recipients that eliminate the need for prior approval from the awarding agency for certain activities.
expiration date	The specified date in the NoA marking the conclusion of the current budget period, beyond which the recipient is not authorized to obligate award funds.

facilities and administrative costs (F&A)	See indirect costs
federal institution	A Cabinet-level department or independent agency within the executive branch of the federal government, or any of its sub-entities.
federal share	The proportion, usually expressed as a percentage of the total project costs, that represents the financial and other direct contributions provided by the awarding agency, as detailed in the NoA. 45 CFR § 75.2 Federal share
fee	A sum paid beyond the actual allowable costs to an entity delivering goods or services in line with standard commercial practice, often referred to as "profit."
financial assistance	The provision of funds, property in place of funds, or other direct aid to a qualified recipient to encourage or further a public purpose authorized by law.
foreign component	The execution of a major part or component of a project outside the United States by the recipient or by a researcher affiliated with a foreign institution, regardless of whether award funds are used.
foreign organization	An entity situated in a country outside of the United States and its territories, governed by the laws of that nation, regardless of the nationality of the proposed Principal Investigator/Project Director. 45 CFR § 75.2 Foreign organization
for-profit organization	A legal entity formed for the purpose of generating profit for its shareholders or owners. This type of organization is also known as a "commercial organization." See also 45 § CFR 75.2 Commercial organization.
grant	A funding mechanism given to an eligible entity to support a public-purpose project or activity without significant involvement from the awarding agency. Unlike direct benefits for the government, a grant provides financial assistance or other resources to accomplish approved objectives. See also 45 § CFR 75.2 Grant agreement.
high risk	A recipient with a history of subpar performance, financial instability, or inadequate management, placing them at risk of financial or operational failure.
human subject	An individual from whom an investigator collects data via intervention, interaction, or acquisition of identifiable private information, including organs, tissues, body fluids, or any related graphic or recorded details. Regulations govern the use of human subjects.
Indian tribal government	The governing body overseeing an Indian tribe, group, or community, including Alaska Native villages per the Alaska Native Claims Settlement Act of 1971. This body is recognized by the Secretary of the Interior for access to specific programs and services via the Bureau of Indian Affairs and the Indian Health Service. See also 45 CFR § 75.2 Indian tribe.

indirect costs	Costs incurred by a recipient for shared purposes and not tied to a specific project or program. They are also referred to as "facilities and administrative costs." 45 CFR § 75.2 Indirect (Facilities and Administration or F&A) costs
institutional review board (IRB)	A committee that safeguards the rights and well-being of human subjects in research. The IRB can approve, modify, or disapprove research activities under its jurisdiction.
intangible property	Property without physical form, such as copyrights, patents, and other intellectual property rights acquired under awards. It also encompasses loans, notes, leases, stocks, and other ownership instruments. However, intellectual property created, rather than purchased, under awards is excluded.45 CFR § 75.2 Intangible property
international organization	An organization with members from multiple countries, representing their interests, regardless of whether its headquarters or activities are located within or outside of the US.
invention	A potentially patentable or protectable discovery or invention made by an awardee during work funded by a contract, grant, or cooperative agreement. The term "subject invention" refers to inventions specifically conceived or first reduced to practice as part of the funded work.
key personnel	The PI/PD and other individuals who contribute to the programmatic development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the award.
local government	A local government entity such as a county, city, town, township, school district, or council of governments, among others. This includes regional or interstate government entities and local public authorities, but excludes institutions of higher education and hospitals. 45 CFR § 75.2 Local government
matching or cost sharing	The value of non-federal contributions to a federally assisted project, including third-party in-kind donations. These costs must adhere to the same allowability policies as other costs in the approved budget. 45 CFR § 75.2 Cost sharing or matching
merit review	An unbiased evaluation of discretionary applications by experts in the relevant field. Also known as objective review. See also 45 CFR § 75.204 HHS funding agency review of merit of proposals.
monitoring	A method of evaluating an award's programmatic and business management performance using data from reports, audits, site visits, and other sources.
non-competing extension	An additional timeframe beyond the original period of performance, granted by the awarding agency or recipient (under expanded authority), to finalize project activities.
non-federal share	The portion of allowable project costs not borne by the Federal government.
notice of funding opportunity (NOFO)	An official announcement from the awarding agency that outlines the availability of federal funds for a specific program. This announcement invites applications and provides essential details such as eligibility requirements, evaluation criteria, and guidelines for application preparation and submission.
objective review	See merit review.

obligations	The value of commitments made by a recipient during a budget period for orders, contracts, subawards, and received goods and services, that will need payment within the current or later budget periods. 45 CFR § 75.2 Obligations
outlays or expenditures	The charges made to the federally sponsored project or program. They may be reported on a cash or accrual basis. 45 CFR § 75.2 Expenditures
patent	A property right awarded by the federal government that grants the right to exclude others from making, using, or selling the invention for a period of years.
peer review	A method of evaluating the merit of applications based on assessment by individuals of equal scientific or technical expertise (peers). This review ensures that applications meet high scientific or technical standards, as determined by experts in the relevant field.
period of performance	The total time for which support of a project has been programmatically approved. 45 CFR § 75.2 Period of performance
pre-award costs	Costs incurred before the official start date of an award, expected to be covered by the award but undertaken at the applicant's own risk, given there's no guarantee of reimbursement unless later approved. 45 CFR § 75.209 Pre-award costs
prior approval	Written approval from the awarding agency's CGMO, or their delegate, granted in response to a recipient's request, to incur a specific cost or action requiring such approval. If these costs/actions are detailed in an application, the award's issuance based on that application serves as the authorization. For indirect cost components, prior approval must come from the relevant agency or as per the associated cost principles. 45 CFR § 75.2 Prior approval
profit	See fee
program income	Income directly produced by a project, program, or activity funded by the award, or earned due to the award. 45 CFR § 75.2 Program income
progress report	Regularly submitted reports, typically annually, from the recipient to the awarding agency to evaluate progress and determine funding for the next budget period, excluding the final report.
real property	Land, including land improvements, structures, and appurtenances, but not movable machinery and equipment. 45 CFR § 75.2 Real property
recipient	The entity or individual awarded a grant or cooperative agreement by the awarding agency. They are accountable for the funds and the execution of the project or activity. Even if a specific component is mentioned in the NoA, the recipient refers to the complete legal entity. 45 CFR § 75.2 Recipient
reimbursement	A payment made to a recipient upon its request after it makes cash disbursements.

research	A comprehensive study aimed at expanding knowledge or addressing a specific need. It involves the application of knowledge to produce materials, devices, systems, or methods, including the design and enhancement of prototypes and processes. Often referred to as "research and development." 45 CFR § 75.2 Research 45 CFR § 75.2 Research and Development (R&D)
research patient care	Standard and supplementary hospital services given to research participants. The expenses for these services are typically allocated to individual research projects using established research patient care rates.
subaward	Financial assistance given as money or property under an award by a recipient to a qualified subrecipient (or by a subrecipient to a lower-tier subrecipient). This aid can be provided through any legal agreement, even if termed a contract, but excludes procurement of goods/services or any assistance other than grants and cooperative agreements. Consortium agreements are included. 45 CFR § 75.2 Subaward
subrecipient	An entity that receives a subaward from a recipient or another subrecipient under a financial assistance award and is responsible to that recipient or subrecipient for the proper use of the federal funds provided by the subaward. 45 CFR § 75.2 Subrecipient
substantive programmatic work	The primary project activities for which award support is provided.
supplies	Tangible items that are not classified as equipment, intangible property, or debt instruments. While some items in the "supplies" category might resemble equipment, they don't meet the specific criteria or cost threshold to be categorized as such. 2 CFR § 200.2 Supplies
suspending award activities	A temporary halt on a recipient's ability to use award funds until they take corrective action as directed by the awarding agency or until the agency decides to end the award. This definition of "suspension" is distinct from its use in the context of debarment and suspension procedures. 45 CFR § 75.2 Suspension of award activities
tangible personal property	Tangible assets including equipment and supplies, excluding intangible property like intellectual property.
termination	The awarding agency's permanent removal of a recipient's right to commit previously granted funds before the initial authority ends, which can include the recipient willingly giving up that right. 45 CFR § 75.2 Termination
total project costs	The total allowable costs (both direct and indirect) that the recipient incurs to carry out a project supported by the award. This includes costs billed to the award itself and costs that the recipient covers as part of a matching or cost-sharing agreement. 45 CFR § 75.2 Total Costs

unallowable cost	A cost specified by law or regulation, federal cost principles, or term and condition of award that may not be reimbursed under a grant or cooperative agreement.
unliquidated financial obligations	If using a cash basis, the amount of obligations made by the recipient that have yet to be paid. If using an accrual basis, the sum of obligations made by the recipient for which a disbursement or expense hasn't been recorded. 45 CFR § 75.2 Unliquidated obligations
unobligated balance	The amount of the funds authorized by the federal agency that the recipient has not obligated. 45 CFR § 75.2 Unobligated balance
vertebrate animal	Any live animal having a backbone or spinal column used or intended for use in research, research training, experimentation, biological testing, or related purposes.
withholding cash payment	The awarding agency, after following necessary steps, limits a recipient's access to funds until they make the needed corrections.

Appendix C: Post-Award Considerations by Type of Program, Activity, or Recipient

Services Provided by Affiliated Organizations

Universities and other organizations (parent organizations) sometimes create affiliated organizations.

The parent organization often provides considerable support services. These include administration, facilities, equipment, accounting, and other services. The affiliated organization includes the costs of these services in its indirect cost proposal.

In some cases, the awarding agency may reimburse these costs. This happens only when the affiliated organization satisfies any of the following:

- It is charged for, and must legally pay for, the costs.
- It is subject to state or local law that sets out how to spend the federal reimbursement and a state or local official approves the expenditures.
- A formal agreement allows the affiliated organization to keep the related federal reimbursement. The parent organization may direct the expenditure of the funds or allow the affiliated organization to decide.

If these conditions don't apply, the awarding agency cannot reimburse the costs. However, the services may be acceptable for cost-sharing purposes.

Data Sharing for Research and Demonstration Projects Considerations

Expectations

Sharing data and research tools is important to quickly turn research into useful products and knowledge to improve human health. This includes things like cell lines and software. Also sharing information about demonstration projects helps others use and duplicate projects. If you are an NIH recipient, reminder to please go to the NIH GPS at:
https://grants.nih.gov/grants/policy/nihgps/nihgps.pdf

HHS encourages researchers to share their findings promptly.

If you enter into subawards, including consortium agreements, and you want access to third-party data or research tools, include a provision in the third-party agreement. There may be times the HHS awarding agency requires you to do so They can also access third-party data or tools. Please check the NoA.

You must also share copies or samples of materials developed under the award. You can charge a small fee for shipping and handling these items. Any income earned from this is considered program income.

If you think you can't meet these expectations, talk to the GMS before getting an award.

Timely Release of Research Data and Tools

Investigators should share their final research data and tools either when their main findings are accepted for publication or when they submit findings to the awarding agency. This ensures timely sharing.

Protection of Certain Data

HHS knows data sharing can be complicated due to various rules and laws, including the HIPAA Privacy Rule, Human Research Protections, and others. We must always protect the privacy of project participants and their data.

For wider use, data must not include any indicators that could reveal the identity of individual participants. Researchers need to ensure that data from human cells or tissues also can't reveal the identity of the original donors.

Researchers can share materials through their lab or organization or submit them to a repository. They should send unique biological data, like DNA sequences, to the appropriate data banks. When sharing unique resources, investigators must provide details about the nature, quality, or characterization of the materials.

Conference Awards

If you have questions about conference awards or what's allowed under your award, ask your GMS.

Here are definitions and details about costs related to conference awards:

- Conference: Events like meetings, retreats, or seminars that share technical information. They must be necessary and reasonable for the award's success.
- International conference: A meeting open to attendees from at least two countries other than the U.S. or Canada. It can be anywhere, even in the U.S. But, if it's outside the U.S. or Canada, award funds can't cover general support. They can cover specific parts, like a workshop or panel.
- Domestic conference: A meeting in the U.S. or Canada mainly for attendees from these two countries. Award funds can support these conferences, whether they're domestic or international.

Equity in Representation

For HHS-supported meetings, ensure diverse participation. Recipients of HHS financial assistance awards must make sure all those eligible for the HHS funded project are able to participate and receive the benefits from the project. When administering HHS-funded meetings, programs, activities, projects, assistance, and services, the recipient must make sure no one able to participate is discriminated against, to the extent doing so is prohibited by Federal statute. Please see 45 CFR § 75.300 and Advancing Equity at HHS for more information.

Funding Requirements

The NoA will include any specific requirements. A change in conference focus is a change in scope and needs prior approval.

Acknowledgment of Support and Disclaimer

All conference materials, like agendas or media promotions, must mention HHS support, whether in whole or in part. Refer to Appendix D for the exact wording of this acknowledgment.

If you're releasing a press statement about activities supported by an HHS award, inform the awarding agency beforehand to coordinate, which may include a review of mate

Allowable and Unallowable Costs and Activities

Please refer to 45 CFR part 75, subpart E, your NOFO/NoA, and the HHS awarding agency.

Other Cost Considerations

If you don't have a written travel policy, follow the Federal Travel Regulation. Always adhere to the U.S. foreign travel restrictions in place at the time, which may include restrictions on countries or limits on funds for travel.

When attending a conference:

- Only claim per diem for days you attend and the actual travel time, taking the most direct route.
- Local travel costs can be covered for local attendees only.
- If meals or lodging cost are nominal or free, like within a registration fee, adjust your per diem accordingly.
- Travel costs shouldn't exceed coach fares. Always choose U.S. carriers when possible.

Intellectual Property: Publications, Copyright, and Public Disclosure

If you publish something using HHS funds, you can distribute it for free. If you sell it, the money earned is considered program income and should be reported as directed in your NoA and on the FFR. More details can be found in the Program Income section of the GPS Program section After the Award.

You can seek copyright for publications from an HHS-supported conference unless your award says otherwise. However, HHS still has rights to the materials, as mentioned in the Irrevocable and the Royalty-Free License GPS section After the Award.

Construction and Modernization of Facilities Awards

Applicability and Definitions

Note that construction and modernization activities must be allowed by law; that law may provide more specifics about allowable construction and modernization activities. However, as a general matter, this section applies to the following HHS award-supported activities:

- Construction: constructing a new building, structure, or facility that provides new space. It also includes installing fixed equipment in such space. It excludes purchasing land and ancillary improvements like parking lots, roads, or fencing. Constructing shell space is not allowed as a construction activity as it does not provide usable space.
- Modernization: altering, renovating, remodeling, improving, expanding, or repairing an existing building. Also includes completing existing shell space. Activities must make the building suitable for the purposes of a particular program. This can include space used for storage or by people. It can range from updating flooring to replacing everything except for the existing frame and foundations. If the main award purpose is modernizing a biomedical research facility, the award can't also support research.
- Alteration and renovation (A&R) activities: These are modernization activities and can be under research awards where the primary purpose of the award is other than construction or modernization.

Refer to the NoA for additional related requirements.

Allowable and Unallowable Costs and Activities

This section outlines costs and activities generally allowable and unallowable under construction awards. (The final decision is based on the decision of the HHS awarding agency and the program.)

These policies apply to the use of federal funds and cost sharing or matching funds. The lists are not all-inclusive. Consult program guidelines and award terms and conditions for specific costs allowable under a program or award.

Allowable Costs and Activities

- Acquisition and installation of fixed equipment.
- Architectural and engineering services.
- Bid advertising.
- Bid guarantees and performance and payment bonds as provided in 45 CFR § 75.334.
- Contingency funds for unanticipated charges included in the initial cost estimates for construction contracts. Before you receive bids, the budgeted amount can't exceed five percent of expected construction costs. You must reduce it to not more than two percent after you award a construction contract.
- Filing fees for recording the Notice of Federal Interest (NFI).
- Force accounts to provide funding for your own construction and maintenance staff used in carrying out modernization activities. These are allowable if you can document that a force account is less expensive than if you were to competitively bid the work. You must substantiate costs with receipts for the materials and certified labor pay records. Use of a force account requires awarding agency prior approval.

- Compliance with the National Historic Preservation Act. This can include:
- hiring special consultants to research and document the historic value of proposed performance sites
- costs to prepare and present required materials to inform the public and others.
- Incentive costs for contractors consistent with contract type as specified in the solicitation of bids or proposals and in the contract. Incentive costs must be reasonable and documented, including that conditions to earn the incentive were met. Incentive-type contracts may also contain a penalty provision. Other types of bonus payments are not allowable.
- Inspection fees.
- Insurance costs of title insurance, physical-destruction insurance, and liability insurance are generally allowable. Physical destruction and liability insurance are usually treated as F&A costs. However, you can treat it as a direct cost if your established policy does so and you consistently do so. You may charge title insurance, if required, to the award in proportion to the amount of awarding agency participation in the property. See Real Property —Insurance.
- Legal fees related to obtaining a legal opinion about title to a site.
- Relocation expenses.
- Sidewalks necessary for use of facility.
- Site clearance costs are allowable if reflected in the bid.
- Site survey and soil investigation costs.
- NEPA analysis costs to evaluate the environmental effects and produce the Environmental Impact Statement (EIS).
- Pre-award costs for architect and consultant fees needed for planning and design are allowable if the project is later approved and funded.
- Project management costs.
- Threat-risk assessment costs for a site-specific or project-specific assessment of security risk by a qualified professional. The threat-risk assessment identifies and quantifies potential threats, both internal and external to the building, its contents, the personnel working in it, and the general public. The analysis also includes examination and evaluation of the physical aspects of the proposed facility, along with operational issues.

Unallowable Costs and Activities

- Bonus payments other than earned incentive payments to contractors under formal incentive arrangements.
- Construction of shell space designed for completion at a future date.
- Consultant fees not related to actual construction.
- Damage judgment suits.
- Equipment purchased through a conditional sales contract.

- Indirect/F&A costs.
- Fund-raising expenses.
- Land acquisition.
- Legal services not related to site acquisition.
- Movable equipment.
- Off-site improvements such as parking lots.

Prior-Approval Requirements

You must get awarding agency prior approval for the following types of project or budget changes:

- Any applicable changes as specified in the Prior Approvals section of the GPS.
- Change in the use of the facility. See Use of Facility and Disposition in this section.

You must provide enough details in your approval request to explain why you need the change. Once approved, you can make the changes. For smaller changes to construction contracts, you don't need prior approval. But keep copies of all changes as part of your award records.

Procurement Requirements

Construction activity usually is conducted through one or more contracts. All such procurement must use the methods described in 45 CFR §§ 75.327 through 75.335, as applicable.

Equal Employment Opportunity, Labor Standards, and Other Contract Requirements

You must provide equal employment opportunity and labor standards requirements for federally assisted construction and modernization to potential bidders/offerors and include them in the resulting contract. See 45 CFR part 75, Appendix II (C) and 41 CFR chapter 60. The Davis-Bacon Act or the Copeland "Anti- Kickback" Act apply only if specifically required by the program's authorizing statute. The NoA will show if they apply.

Equal Employment Opportunity Requirements

Construction contracts (and subcontracts) awarded under HHS awards must follow the requirements of EO 11246 and implemented in 41 CFR § 60-1. Recipients must:

- Include the "Equal Opportunity Clause" at 41 CFR § 60-1.4(b) in any construction contract under the award. You must direct the contractor to include this clause in any applicable subcontracts.
- Follow solicitation and contract requirements for affirmative action specified in 41 CFR § 60-4 for contracts in specified geographical areas that will exceed $10,000. These requirements are specified in EO 11246.
- Notify the Office of Federal Contract Compliance Programs regional, area, or field office when you expect to award a construction contract over $10,000.

Labor Standards Requirements

- Under EO 13202, as amended by EO 13208, you must ensure that bid specifications, project agreements, or other controlling documents for construction services contracts:
- Ensure that bidders, offerors, contractors, or subcontractors are able and willing to enter into or adhere to agreements with one or more labor organizations on the same or other related construction projects.
- Refrain from discrimination against bidders, offerors, contractors, or subcontractors for initiating, refusing to initiate, or adhering to agreements with one or more labor organizations, on the same or other related construction projects.

Under 41 CFR § 60-1.8, segregated facilities are not permitted for any contract for construction services that will exceed $10,000. The recipient must require each prospective contractor to submit a certification that the contractor:

- Maintains all facilities provided to employees in a non-segregated manner
- Prohibits its employees to perform services at any location, under the contractor's control, that maintains segregated facilities
- Obtains a similar certification before awarding any covered subcontract

Awards, contractors, and subcontractors with construction contracts or subcontracts over $100,000 must follow the Contract Work Hours and Safety Standards Act, 40 USC 3701–3708. Among other provisions, the statute covers standards listed below. Consult the statute for proper interpretation and guidance.

- Work hours
- Report of violations and withholding of amounts for unpaid wages and liquidated damages
- Health and safety standards in building trades and construction industry
- Safety programs
- Limitations, variations, tolerances, and exemptions
- Contractor certification or contract clause in acquisition of commercial items not required
- Criminal penalties

Other Requirements

Liquidated Damages

Invitations for bids must supply a date or timeframe to complete the project for each prime contract. You may include a liquidated damages provision in the contract. It allows you to assess damages when the contractor does not complete the construction or modernization by the specified date. Liquidated damages must be real, justified, and approved by the awarding agency before solicitation. Where damages are assessed, any amounts paid belong to the recipient.

Disposition of Unclaimed Wages

If an employee doesn't claim wages from an HHS-supported construction contract, the recipient might need to pay HHS back. Here's the process:

- Check that the contractor tried to find the employee. This might include forwarding mail or contacting their union.
- If the contractor's search fails but seems incomplete, try to find the employee.
- Open an escrow account in the employee's name. Keep it for two years after the contract ends, or longer if local laws say so. Tell the GMS about this account.
- If you pay wages from the account to the employee or their representative, report to the GMS when you close the account.
- If money is still unclaimed after two years, refund the awarding agency based on the award's contribution to those wages.

Use of Facility and Disposition

Unless a statute or instructions from your awarding agency say otherwise, here's how to manage real property:

- Keep using the property for its intended purpose. Don't sell or encumber the title without approval.
- If you don't need it for the initial purpose, get written approval from the awarding agency to use it for a similar federally funded project.
- If you no longer need the property, follow the rules in 45 CFR 75.318. Your options include:
- Keep it and pay the awarding agency their fair share based on their contribution and the property's market value.
- Replace it. If buying new property under the same award, use any sales money to reduce the new property's cost.
- Sell it and pay the awarding agency based on a formula in 45 CFR 75.318(c)(2).
- Transfer it to the awarding agency or their approved third party. They'll pay you your fair share based on your contribution and the property's current market value.

Foreign Organizations, International Organizations, and Domestic Recipients with Foreign Components

The GPS generally applies to awards to foreign organizations and international organizations. You can find the definitions of these terms in Appendix B of the GPS. In this section, we refer to them as foreign awards.

The AOR must contact the GMS if their organization can’t follow these requirements. This section includes:

- Exceptions and modifications to GPS requirements for foreign awards
- Highlights of other related policies
- Policies that apply to awards with a foreign component

Public Policy Requirements and Objectives

Requirements in Appendix D apply to foreign awards, unless otherwise noted here, the NoA, or in awarding agency policies. Exceptions include:

- Civil rights: The civil rights requirements do not apply to foreign awards.
- Debarment and suspension: These rules and the certification requirement do not apply to:
- foreign governments and foreign recipients
- public international organizations
- entities that are foreign-government-owned or controlled, in whole or in part

All other foreign organizations and international organizations are subject to these rules.

- Drug-Free workplace: The awarding agency may exempt foreign awards from these requirements. To do so, they must find that the requirements are not consistent with U.S. international obligations or the laws and regulations of a foreign government.
- Environmental requirements: A foreign award isn't subject to environmental requirements that would not otherwise apply to it.

Funding and Payment

These policies apply:

- All application budgets, fund requests, and financial reports must be in U.S. dollars.
- If exchange rates change, extra costs might be covered, depending on the awarding agency's available funds.
- You only need prior approval for rate changes if they lead to needing more federal funds or if they will reduce project scope significantly.
- Review local currency gains to determine if you will need additional federal funding before the award ends.
- Adjustments for currency increases may be allowable only when you provide the awarding agency with adequate source documentation from a commonly used source in effect at the time you made the expense.

Allowable and Unallowable Costs

The cost principles that apply to foreign organizations depend on the type of organization. See Cost Principles. There are some exceptions:

- Major A&R are unallowable under foreign awards and domestic awards with foreign components, except where allowed by the governing statute and as indicated in the NoA.
- Minor A&R are generally allowable on awards made to foreign organizations or to a foreign component of a domestic award, unless prohibited by the governing statute or implementing program regulations. You may include and justify minor A&R costs in the detailed application budget. Rebudgeting to accommodate minor A&R requires prior approval.
- F&A Costs under foreign awards, including foreign recipients with a domestic component, are at a fixed rate of eight percent of modified total direct costs. These are direct costs minus tuition and related fees, equipment, and subawards in excess of $25,000. See 45 CFR 75.414(c)(1)(ii). These funds are to support the costs of compliance with federal requirements.
- Capital expenses (facilities) are not allowable, except where allowed by the governing statute and as indicated in the NoA. The awarding agency will not support the acquisition cost or provide for depreciation.
- Equipment is an allowable direct cost.
- Patient care costs are provided only in exceptional circumstances or where allowed by the statue setting up the award program.
- Travel Visas (including short-term) are generally allowable:
    - As a direct cost as part of recruiting costs if the institution has an employee-employer relationship with the individual
    - When identified in specific NOFOs
    - If within the scope of an approved research project

Administrative Requirements

Expanded authorities generally apply to foreign awards. Review the NoA to determine the specific award requirements. See the Prior Approvals and Expanded Authority sections of the GPS. These requirements also apply to subawards to foreign entities under financial assistance arrangements, rather than acquisition of goods or services.

If you make a subaward to a foreign entity, to comply with audit requirements, you must include oversight methods. These may include reviewing reports, on-site reviews, or alternatives to a single audit, if one will not be available during the period of the subaward.

Federal Institutions and Payments to or on Behalf of Federal Employees Under Awards

Most policies contained in the GPS apply to awards made to federal institutions. This section includes specific exceptions and modifications of general GPS requirements for federal recipients. It also highlights other related policies.

Eligibility

Specific eligibility is in each NOFO. An awarding agency may not issue an award to any component of its own organization.

PHS organizational segments, other than IHS hospitals, may receive award support under exceptional circumstances only. Such circumstances may include when the work cannot be supported within the mission of the PHS agency and cannot be performed elsewhere.

The federal agency or department is the official applicant, regardless of where within it the work is to be performed. A federal institution must ensure that its own authorizing legislation allows it to receive awards and to be able to comply with the award terms and conditions.

A document that assures both the assumption of responsibility and authority to receive an award must accompany each new and competing continuation application. The assurance must be signed by the head of the responsible federal department or independent agency or a designee who reports directly to the department or agency head. This assurance is in addition to those made by the AOR's signature on the face page of the application. The assurance requirement does not apply to VAMCs, Bureau of Prisons' (Department of Justice) hospitals, IHS hospitals, or other PHS organizational segments.

For-Profit Organizations

General

Terms and conditions for for-profit organizations vary from standard ones. Also, terms and conditions for SBIR and STTR programs vary from those usually applied to for-profit organizations.

Cost Principles

Usual cost principles do not specifically apply to for-profit organizations. As a result, use:

- For for-profit organizations: FAR, 48 CFR § 31.2.
- For private hospitals: 45 CFR part 75, appendix IX.

Allowable and Unallowable Costs

Allowable Costs

- Indirect costs
- Travel that does not exceed costs established by the Federal Travel Regulation (FTR).

Unallowable Costs

- Independent research and development costs, as provided in 45 CFR § 75.476.
- Profits or fees, except for awards under the SBIR and STTR programs and funds paid to a contractor for routine goods or services.

Consult the GMS for questions on costs.

Administrative Requirements

For-profit organizations generally are subject to the same administrative requirements as non-profit organizations, including those relating to personal property title and management.

- Equipment: For-profit groups must track equipment. You can't use award-funded equipment to compete unfairly by offering paid services. Any fees charged for using the equipment count as program income and you must report it on the FFR.
- Intellectual property: All for-profit groups, regardless of size, follow the intellectual property rules in 37 CFR § 401. For-profit organizations have different invention reporting rules than non-profits. For-profit organizations can assign invention rights to others without agency approval, but they must still report each invention. The federal government will keep information about federally supported inventions confidential, as allowed by law.
- Program income: See Program Income.
- Operating authorities: Standard award terms apply to for-profit organizations. However, some policies do not allow automatic carryover of unobligated fund balances. The NoA specifies the disposition of the reported unobligated balance.
- Audit: Requirements for non-federal audits of for-profit organizations are in 45 CFR § 75.501. For-profit organizations are subject to requirements for non-federal audits. See Audit Requirements.
- Labor distribution requirements: Salary and wage amounts charged to awards for personal services must:
    - Be based on an adequate labor distribution system that distributes payroll costs in line with generally accepted practices of like organizations.
    - Align to industry standards.
    - Track time spent on award activities. The time and-effort reporting system used must:
    - Be for both professional and other staff
    - Reflect daily reporting
    - Track time by individual projects and indirect activities
    - Record both hours worked, and hours absent
    - Enable the AOR to meet the requirement to certify time entries at least every pay period.
    - The GMS must approve any alternative system.

Small Business Innovation Research and Small Business Technology Transfer Programs

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs have three stages. Some projects might not be eligible for all three.

Phase I

Before providing Phase II support, this phase assesses:

- The technical merit and feasibility of proposed research or R&D
- The quality of the applicant's performance

Phase II

This phase advances efforts started in Phase I. These policies apply:

- Funding is based on the results of Phase I and the scientific and technical merit and commercial potential of the Phase II application.
- Only Phase I recipients can apply for Phase II funding.
- You can only submit Phase II applications before a Phase I award if using the Fast-Track application process (see below).
- You must submit non-Fast-Track Phase II applications within the first six receipt dates after the end of your Phase I budget period. This is typically two years.

Phase III

The SBIR and STTR programs do not fund Phase III. This phase is for the SBC to work to commercialize the results of the research or R&D done in Phases I and II. In some cases, a federal agency may:

- Use non-SBIR and STTR funds to continue the work.
- Contract for items for federal use.

SBIR and STTR

STTR

The STTR program focuses on teaming a Small Business Concern (SBC) with a non-profit research body for a project that might be turned into a product.

The program requires:

- The SBC collaborates with a single non-profit research institution.
- The SBC must do at least 40% of the research. A domestic non-profit organization does at least 30%. This rule is the same for both Phase I and Phase II.
- Eligible research partners include universities, non-profit hospitals, other non-profits research organizations, and federally funded Research and Development Centers.
- The award goes to the SBC. It disperses funds to the research institution.
- The PI must spend at least 10% of their time on the STTR project.

SBIR

The SBIR program requires that SBC employ the PI at least half-time at the time of award and during the project.

Fast-Track Process

The Fast-Track process speeds up decisions and funding for SBIR and STTR Phase II applications. Policies include:

- To be eligible, the project must be scientifically meritorious with a high potential for commercialization.
- Not every agency lets SBCs use Fast-Track. Talk to the agency first before applying.
- If you aren't approved for Fast-Track, your application might go through the regular review.
- With Fast-Track, Phase I and Phase II applications are handled together and usually get one overall score.

For more details, check the SBIR and STTR NOFOs.

Place of Performance and Sources of Materials

All project activities for Phase I and Phase II of SBIR and STTR must be done in the United States. Using a foreign site for research is rare and needs a solid scientific reason. An example includes testing specific patient groups only available abroad. You must attempt to get alternate funding for the part of the work to be done abroad.

If you must buy materials from another country, you must have a good reason and clearly explain it. Approval of such a waiver is rare. The awarding agency reviews each request individually. If you'll need to do this, talk to the GMS before you apply.

GMSs decide waiver requests. The NoA will clearly state if it is approved.

Change in Organization Status & Change of Recipient Institution Actions

The awarding agency makes eligibility decisions at the initial award time.

A later event like a merger or successor-in-interest could alter the organization's status. If the change makes the organization ineligible for the SBIR or STTR program:

- Any current awards can still proceed unless the small business concern makes a material misstatement that the agency decides poses a risk to national security; or there is a change in ownership, change to entity structure, or other substantial change in circumstances of the small business concern that the Federal agency decides poses a risk to national security
- After that, the organization will not qualify for new SBIR or STTR awards

If an SBIR or STTR award needs to be transferred to a different institution or organization, this new entity must also fulfill the eligibility requirements of the SBIR or STTR program.

Contact the awarding agency to discuss options when considering a move to a new organization.

Minimum Level of Effort

Congress requires minimum levels of effort for these programs.

SBIR required levels of effort:

Program and Phase:	SBC level of effort:	Aggregate payments to others may not exceed:
SBIR Phase I	67%	33%
SBIR Phase II	50%	50%

STTR minimum levels of effort:

Program and Phase:	SBC minimum level of effort:	Single, non-profit research institution minimum LOE:
STTR Phase I	40%	30%
STTR Phase II	40%	30%

Policies include:

- Waivers are not allowed.
- The basis for establishing the percentage of work to be done by each participant is the entire cost (including direct, indirect costs, and fee) related to each party. However, if described and justified under the "Consortium/Contractual Arrangements" section of the application, a different basis might be used.

Multiple Program Director or Principal Investigator Applications and Awards

Team science efforts may use a multiple program director or principal investigator (Multi PD/PI) option. The following policies apply:

- The SBC is always the applicant or recipient organization. Other participants are subcontractors.
- Each PD or PI must commit at least 1.2 calendar months (10% effort) to the project.
- SBIR Phase I and II projects: The contact PD or PI must meet the primary employment requirement. Other PDs or PIs do not have to meet the requirement.
- STTR Phase I and II projects: The PI listed must have a formal appointment with, or commitment to, the SBC. This must be an official relationship but does not require pay.
- Phase IIB Multi PD/PI competing renewal applications: If previously supported through a single PD/PI award, the new application must state the changes in the project's management that led to the proposed Multi PD/PI model.

Public Policy Requirements

Requirements in Appendix D: Administrative and National Policy Requirements apply, unless otherwise noted here or in awarding agency policies.

- Disclosure of financial conflicts of interest does not apply to Phase I of the SBIR and STTR programs.
- Under an SBIR or STTR award, the SBC should purchase only American-made equipment or products when possible.

Allowable Costs and Fees

Program Levels (Total Costs)

The SBA SBIR and STTR Policy Directive provides program levels for SBIR and STTR programs based on statutory guidelines. The directives allow awarding agencies to exceed these levels up to 50% over the guideline when the proposed budget and requested period of support are justified and scientifically appropriate for the proposed research.

In some cases, Phase II SBIR or STTR recipients may apply for Phase IIB competing renewal awards. These are available for projects that require extraordinary time and effort for R&D. Only those SBCs awarded a Phase II may apply for the Phase IIB award.

Applicants must request an appropriate level in the competing application. The awarding agency will not adjust it after submission.

Profit or Fee

SBCs can earn a reasonable profit or fee under Phase I and II of the SBIR and STTR programs.

- This profit or fee must be in the application budget.
- The profit or fee isn't considered a cost for determining allowable use, program income accountability, or setting audit thresholds.
- The SBC can use the profit or fee for any purpose, including investment into the awarded project.
- The intent is to provide a reasonable profit consistent with normal profit margins for for-profit organizations for R&D work. Typically, the profit or fee will not surpass seven percent of the total project costs for each phase.
- The profit or fee should be drawn from PMS in proportion to the drawdown of funds for direct and indirect costs.
- The profit or fee is exclusively for the SBC that receives the award. However, in line with regular commercial practices, the SBC can pay a profit or fee to a contractor that provides routine goods or services under the award.

Indirect Costs

If the applicant SBC has a currently effective indirect cost rate with a federal agency, the rate should be used when calculating proposed indirect costs for an application. The rates must be adjusted for IR&D expenses, which are not allowable under HHS awards.

If that applicant does not have an approved indirect cost rate, one can be proposed in the application. See below for specific requirements for each phase. If awarded at a rate, indirect costs cannot exceed the awarded rate unless the SBC negotiates an indirect cost rate with a federal agency. The awarding agency will not negotiate indirect cost rates for Phase I awards.

If you do not have an effective negotiated indirect cost rate, you may propose estimated indirect costs at a rate not to exceed 40 percent of the total direct costs. You can charge only actual indirect costs to projects.

Phase II

If you do not have an effective negotiated indirect cost rate, you may propose an estimated indirect rate in the application.

If the requested rate is 40 percent of total direct costs or less, you do not need to provide further justification. You can charge only actual indirect costs to projects.

If you choose to negotiate an indirect cost rate greater than 40%, DFAS is the appropriate agency. Upon request, provide DFAS with an indirect cost proposal and supporting financial data for your most recently completed fiscal year. If you do not have financial data for the most recently completed fiscal year, submit a proposal showing estimated rates with supporting documentation.

Administrative Requirements

Market Research

HHS will not support market research, including studies of the literature that lead to a new or expanded statement of work.

No SBIR or STTR funds, direct or indirect, can be used to support commercialization.

For SBIR and STTR programs, market research is the systematic gathering, editing, recording, computing, and analyzing of data relating to the sale and distribution of the research subject. It includes research on:

- The size of potential markets and potential sales volume
- Identifying consumers most apt to purchase the products
- The advertising media most likely to stimulate their purchases

Market research does not include activities that include a public survey to determine the research subject's impact on the behavior of individuals.

Intellectual Property

The recipient keeps rights to data and software created with award funding. However, the federal government has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use the material and to authorize others to do so for Federal purposes.

For SBIR and STTR awards, unlike other commercial awards, such data cannot be released outside the Federal government without the recipient's permission for a period of 20 years from completion of the project.

Data Rights

Section 9 of the Small Business Act, as amended (15 USC 638), allows SBC's under an SBIR or STTR award to retain their data rights for at least four years. The SBIR/STTR Policy Directive applies the following data rights:

- The Act allows small business concerns (SBCs) to keep the rights to data they create while working on an SBIR/STTR award. This helps encourage SBCs to participate in Federally funded research and supports them in commercializing their technology. The Federal Government will have access to this data to assess the projects and use the results, but it cannot use the data in ways that would hurt the SBC's rights or economic opportunities. The SBIR/STTR data rights provisions and definitions ensure that the Federal Government effectively protects properly marked SBIR/STTR data during the SBIR/STTR protection period just as well as it protects data developed at private expense.
- Federal agencies that participate in SBIR/STTR awards must make sure that SBC recipients keep appropriate proprietary rights to data generated while working on an award. In general, this means the Federal Government will have rights to that data during the protection period, except for certain types of data that are not subject to such data rights restrictions.
- SBIR/STTR data rights apply to all SBIR/STTR awards, including subcontracts, for all phases of the program (I, II, or III) as defined by the SBA Policy Directive from May 2, 2019. The rights for Phase III awards are the same as those for Phases I and II.
- SBIR/STTR data rights restrict the Federal Government's use and release of properly marked SBIR/STTR data only during the SBIR/STTR protection period. After the protection period, the Federal Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for government purposes. At this time, the Federal Government is relieved of disclosure prohibitions related to such government purposes and assumes no liability for unauthorized use of these data by third parties. The Federal Government receives unlimited rights in Form, Fit, and Function Data, OMIT Data, and all unmarked SBIR/STTR data.

SBIR/STTR Data Rights - Main Elements:

- An SBC retains title and ownership of all SBIR/STTR data it develops or generates in the performance of an SBIR/STTR award. The SBC retains all rights in SBIR/STTR data that are not granted to the Government in accordance with the SBA Policy Directive. These rights of the SBC do not expire.
- The Government receives SBIR/STTR data rights during the SBIR/STTR protection period on all appropriately marked SBIR/STTR data. These rights enable the Federal Government to use SBIR/STTR data in limited ways within the Government, such as for project evaluation purposes. These rights are intended to prohibit use and disclosure of SBIR/STTR data that may undermine the SBC's future commercialization of the associated technology. The Government receives unlimited rights in Form, Fit, and Function Data, OMIT Data, and all unmarked SBIR/STTR data.
- After the SBIR/STTR protection period has expired, the Federal Government may use, and authorize others to use on its behalf, for government purposes, SBIR/STTR data that was subject to SBIR/STTR data rights during the SBIR/STTR protection period.
- The SBIR/STTR protection period begins with award of an SBIR/STTR funding agreement. It ends twenty years, or longer at the discretion of the participating agency, from the date of award of an SBIR/STTR award (either Phase I, Phase II, or Federally-funded SBIR/STTR Phase III) unless the agency and the SBC negotiate for some other protection period for the SBIR/STTR data subsequent to the award.
- Any SBIR/STTR data that is delivered must be marked with the appropriate SBIR/STTR data rights legend or notice to receive the protections given to SBIR/STTR data pursuant to SBIR/STTR data rights. The Government is not liable for the access, use, modification, reproduction, release, performance, display, disclosure, or distribution of SBIR/STTR data that is not appropriately marked in line with agency procedures. If SBIR/STTR data is delivered without the required legend or notice, the SBIR/STTR recipient may, within 6 months of such delivery (or a longer period approved by the agency for good cause shown), request to have an omitted SBIR/STTR data legend or notice, as applicable, placed on qualifying data. If SBIR/STTR data is delivered with an incorrect or nonconforming legend or notice, the agency may correct or permit correction at the recipient's expense.

Negotiated Rights:

- An agency must not, in any way, make issuance of an SBIR/STTR award conditional on the SBC negotiating or consenting to negotiate a special license or other agreement regarding SBIR/STTR data. The negotiation of any such specially negotiated license agreements shall be permitted only after award.
- After issuance of an SBIR/STTR award, the SBC may enter into a written agreement with the agency to modify the license rights that would otherwise be granted to the agency during the SBIR/STTR protection period. However, the agreement must be

entered into voluntarily, by mutual agreement of the SBC and agency. The agreement cannot be a condition for additional work under the funding agreement or the exercise of options. The agreement must be entered into only after the SBIR/STTR award, which must include an appropriate SBIR/STTR data rights clause, has been signed. Any such specially negotiated license must be in writing under a separate agreement after the SBIR/STTR funding agreement is signed. A decision by the recipient to relinquish, transfer, or modify in any way its rights in SBIR/STTR data must be made without pressure or coercion by the agency or any other party. Any provision in a competitive non-SBIR or SBIR solicitation that would have the effect of diminishing SBIR/STTR data rights shall have no effect on the provision of SBIR/STTR data rights in a resulting Phase I, Phase II, or Phase III award.

- To ensure that SBIR/STTR recipients receive the applicable data rights, all SBIR and STTR NOFOs and resulting funding agreements must fully implement all of the policies, procedures, and requirements set forth in the SBA Policy Directive in appropriate provisions and clauses incorporated into the SBIR/STTR NOFOs and awards. The SBA Policy Directive provides a sample SBIR/STTR data rights clause containing the key elements that must be reflected in the clause used in Federal Agency solicitations. SBA will report to the Congress any attempt or action by an agency, that it is aware of, to condition an SBIR or STTR award on the negotiation of lesser data rights or to exclude the appropriate data rights clause from the award.
- The STTR program requires that the SBC and the single, non-profit research institution execute an agreement allocating between the parties intellectual property rights and rights, if any, to carry out follow-on research, development, or commercialization of the subject research.

SBIR and STTR recipients are covered by 35 USC 200-212 and 37 CFR § 401 with respect to inventions and patents.

Data Sharing

For SBIR Phase II funding over $500,000 in a year in direct costs, applicants must follow the GPS on data sharing, unless the Small Business Act conflicts. If the data is proprietary or sensitive, the SBC should explain it in the application. Whether or not the award meets the threshold for data sharing under Intellectual Property, HHS won't share data outside the federal government without recipient approval for a period of 20 years from completion of the project.

For more information, please see NIH's SBIR/STTR information page.

Research Awards

Human Subjects in Research

The regulation for all HHS awards involving human subjects research is 45 CFR part 46, Basic HHS Policy for Protection of Human Subjects. Subpart A is also known as the Common Rule. These regulations

implement Section 491(a) of the Public Health Service (PHS) Act. These regulations apply to both domestic and foreign organizations.

The Office for Human Research Protections (OHRP), Office of the Assistant Secretary for Health, is the office with HHS-wide responsibility for research involving human subjects under this policy.

All NOFOs will clearly state:

- The parameters of human subject use
- The information and assurances required from you prior award

There is a single version of the Federal-wide Assurance (FWA) form and Terms of Assurance for domestic and international institutions.

Recipients, whether domestic or international, must safeguard the rights and welfare of human subjects in HHS-conducted or -supported activities (45 CFR § 46.101(a) and 45 CFR § 46.103(a)).

Recipients must ensure that subrecipients follow these requirements, as applicable. Recipients must facilitate the process for obtaining prior approval for subrecipients if not approved in the award.

Exemptions

Some human subject research is exempt from the requirements of the HHS regulations.

The categories of research that qualify for exemption are found at 45 CFR § 46.104(d)(1)-(8). HHS has final authority to decide if a particular research study supported by HHS is exempt from the HHS regulations. OHRP is the only component of HHS with the delegated authority to interpret and enforce the regulatory requirements in 45 CFR § 46.101(c) regarding whether a particular activity is regulated by 45 CFR part 46. Contact OHRP for questions.

Policies for Non-Exempt Human Subjects Research

The recipient, including any collaborating organization under a subaward, must:

- Hold or obtain an OHRP-approved FWA (45 CFR § 46.103(a)).
- Certify to the awarding agency, within the time frame specified, that the research has been reviewed and approved by an Institutional Review Board (IRB) designated in the FWA (45 CFR § 46.103(d)).

The OHRP website contains a listing of those organizations with OHRP-approved assurances.

The awarding agency must make sure an applicant and any collaborating organizations have the required assurance and certification in place, before:

- Making an award unless there is a specific condition in the NoA restricting expenditures for this purpose.
- You initiate human subjects research, and the awarding agency removes any related NoA specific condition.
- Approving a post-award change in scope that will result in human subjects research.

The specific award condition must indicate that:

- You may not draw down funds, obligate or expend federal funds, or claim required cost sharing or matching costs for research involving human subjects at any site engaged in research until you meet all requirements.
- Failure to comply within the stated time may result in full or partial termination of the award.

The prohibition on expenditures may extend to the whole project if that activity can't be isolated.

Research Involving Animals and Their Welfare

Requirements for using live, vertebrate animals apply to all PHS agencies and other research-related awards. PHS agencies include AHRQ, CDC, FDA, HRSA, IHS, NIH, OASH, and SAMHSA. These requirements apply to recipients, subrecipients, and contractors, whether foreign or domestic.

The requirements:

- Are included in the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy).
- Incorporate the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training.
- Require the recipient to maintain an animal care and use program based on the Guide for the Care and Use of Laboratory Animals.
- Require compliance, as applicable, with the Animal Welfare Act and other federal statutes and regulations relating to animals.

You must establish appropriate policies and procedures to ensure the humane care and use of animals, and you are ultimately responsible for compliance with the PHS Policy.

You can get information about animal welfare topics from the Office of Laboratory Animal Welfare (OLAW), Office of Extramural Research, National Institutes of Health.

Before engaging in any HHS award-supported research using animals, applicants must:

- Have a current Animal Welfare Assurance approved by OLAW. The list of organizations with approved assurances is on the OLAW website for both domestic institutions and foreign institutions.
- Verify, as part of the application or before award, current Institutional Animal Care and Use Committee (IACUC) approval of the animal activities. PHS Policy requires that IACUC approval must have happened within three years of the period of performance start date for new or renewal awards and at least every three years after that.
- Comply with the awarding agency's internal IACUC requirements if a cooperative agreement.

If you do not have a current Animal Welfare Assurance (or made alternative arrangements, like an inter-institutional assurance acceptable to OLAW) or has not provided the required verification by the

time an award is to be made, the awarding agency will notify the PO and the applicant. The awarding agency may:

- Delay the award until the recipient and all performance sites are operating in accordance with approved Animal Welfare Assurances and the organization has provided verification of IACUC approval of those sections of the application that involve use of animals.
- Include a specific condition in the NoA restricting expenditures.

The award condition must state that:

- You may not draw down funds, obligate or expend federal funds, or claim required cost sharing or matching costs for research involving animals at any site engaged in research until you meet all requirements.
- Failure to comply within the stated time may result in full or partial termination of the award.
- The prohibition on expenditures may extend to the whole project if that activity can't be isolated.

Before approving changes involving animal research after award, the awarding agency needs to confirm that there's a proper Animal Welfare Assurance with OLAW. They also need verification from the IACUC.

Reporting

Reporting requirements under the PHS Policy include an annual report to OLAW describing:

- Any updates in your animal care program as mentioned in the Assurance.
- Changes in IACUC membership
- The dates when the IACUC reviewed your program and facilities.

Lastly, the IACUC must quickly report any serious issues or breaches in policies, guidelines, or any suspensions through the official who signed the Assurance.

Foreign Applicants

Foreign applicant organizations applying for awards for activities involving animals are required to comply with PHS Policy or provide evidence that acceptable standards for the humane care and use of animals will be met.

This includes providing OLAW with an Animal Welfare Assurance for Foreign Institutions, which includes:

- Institutional assurance and certification of compliance with the applicable laws, regulations, and policies of the jurisdiction in which the research will be conducted
- A commitment to follow the International Guiding Principles for Biomedical Research Involving Animals.

Awards to Individuals

No award to an individual will be made unless that individual is affiliated with an assured organization that accepts responsibility for compliance with the PHS Policy.

Appendix D: HHS Administrative and National Policy Requirements

Please go to the following page to see updated HHS requirements:
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

Additional Information on Uniform Administrative Requirements

As stated in the information linked above, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (45 CFR § 75) apply to all HHS awards, unless specifically exempted by 45 CFR § 75.101(d) or (e).

As of October 1, 2024, the following provisions from 2 CFR part 200 are effective for all new HHS awards or monetary actions (new, continuation, and supplements):

2 CFR § 200.1 Definitions: Modified Total Direct Cost (MTDC), which increases the exclusion threshold of subawards from $25,000 to $50,000 for modified total direct costs, definition of Equipment, which increases the threshold for determining equipment from $5,000 to $10,000, definition of Supplies, which increases the threshold for determining supplies from $5,000 to $10,000;

2 CFR § 200.313 (e) Equipment: Increases from $5,000 to $10,000 the value of equipment that at the end of the grant period "may be retained, sold, or otherwise disposed of with no further responsibility to the Federal agency" (*see 2 CFR section 200.313(e)(1)*). The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.

2 CFR § 200.314(a) Unused Supplies: Increases from $5,000 to $10,000 the value of unused supplies that recipients of Federal funds are required to sell at the end of the grant award period as well as clarifying that this amount is the total amount of remaining unused supplies, not just like items (*see 2 CFR section 200.314*).

2 CFR § 200.320 Micro-purchase Threshold: Increases the micro-purchase threshold to $50,000 (*see 2 CFR 200.320*).[1]

2 CFR § 200.333 Fixed Amount Awards Subawards: Increases from $250,000 to $500,000 the amount of fixed amount subawards that a recipient may provide with prior written approval from the Federal agency (*see 2 CFR section 200.333*).

2 CFR § 200.344 Closeout: Increases the time period for recipients to submit final reports in support of closeout of the award from 90 to 120 days (*see 2 CFR 200.344*).[2]

2 CFR § 200.414(f) De Minimis Indirect Rate: Increases from 10% to 15% the rate that recipients of Federal funds may use for indirect costs without negotiating an alternative rate with the relevant

[1] This provision has already been adopted by HHS by operation of law, Pub. L. No. 115-91, and OMB Memorandum 18-18. It is included to be clear that this regulation is in force for HHS.

[2] This provision has already been adopted by HHS. See 88 FR 63591 (Sept. 15, 2023). It is included to be clear that this regulation is in force for HHS.

Federal agency (*see 2 CFR section 200.414*). Note that this does not apply to HHS Training or Foreign awards, for which HHS proposes to maintain a modification that caps the de minimis at 8%.

2 CFR § 200.501 Single Audit: Increase from $750,000 to $1,000,000 the level at which a recipient of Federal funds is required to conduct a single audit or a program specific audit (*see 2 CFR section 200.501*).

Appendix E: Financial Assistance General Certifications and Representations

In almost all instances, applicants must have a SAM.gov registration. Agreement to a list of general certifications and representations is required for registration.

Please go to the following page to see updated Certifications and Representations:

https://www.hhs.gov/sites/default/files/financial-assistance-general-certification-representations.pdf

Outlook

EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

From Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Date Fri 2025-07-25 12:46
To OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>

1 attachment (150 KB)
Antidiscrimination Compliance Certification AT 2025-05.pdf;

Chief Grants Management Officers,

On May 28th, the Office of Grants rescinded Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. Today, July 24, 2025, the Grants Policy Statement (GPS) was updated to reflect the below revised language regarding compliance with all federal antidiscrimination laws. Moving forward, HHS awarding agencies must include the below HHS-approved term in all Notices of Award (NoAs) and clearly state the term in Notices of Funding Opportunity (NOFOs).

> ***Required Notice of Award Term and Condition Language***
>
> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

See the attached associated Action Transmittal. Please contact your Desk Officer if you have any questions, or anyone in OG. Thank you,

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-05

Issuance Date: July 24, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

WILLIAM D. BELL IV -S Digitally signed by WILLIAM D. BELL IV -S Date: 2025.07.25 11:36:10 -04'00'

SUBJECT: Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

ACTION:

HHS awarding agencies must insert the below HHS-approved language as a term and condition in all Notices of Award (NoAs) and clearly state this term in Notices of Funding Opportunity (NOFOs):

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Internal Only

HHS Grants Policy Statement

DEPARTMENT OF HEALTH & HUMAN SERVICES

Effective date: October 1, 2025

This HHS Grants Policy Statement (GPS) replaces all prior versions.

Contact GrantPolicyReq@hhs.gov with GPS feedback.

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Version 2.0: Outline of changes from previous Version 1.0

Version 2.0 of the Health and Human Services (HHS) Grants Policy Statement (GPS), effective October 01, 2025, supersedes previous versions of the HHS GPS.

On October 1, 2025, HHS adopts 2 CFR 200 with HHS-specific modifications at 2 CFR 300. This version of the HHS GPS removes all references to 45 CFR 75 and updates these references to reflect new requirements in 2 CFR 200 and 300.

Version 2.0 includes the following updates:

- All references to 45 CFR 75 were updated to new regulations at 2 CFR 200 and 2 CFR 300.
    - Changes to reflect the transition to 2 CFR 200 in this version of the GPS include, but are not limited to:
        - Updated acronyms, terminology, and definitions to align with 2 CFR 200.
            - For example, this version updates terminology to change “awarding agency” to “agency,” changes “match” to “cost share,” etc.
        - Updated citations, which include additional detail in some sections, such as those related to cost sharing, personal property, closeout costs, and termination.
        - Included new HHS specific modifications, such as Appendix IX covering Hospital Cost Principals, HHS conflict of interest policies, and special provisions to states and commercial organizations.
        - Updated prior approval requirements to align with those outlined in 2 CFR 200.308.
- Other changes not related to 2 CFR 200 include:
    - Chapter 2.5.4.3 includes a Title IX certification requirement and updated non-discrimination language.
    - Chapter C.8.10.3 includes updates to SBIR/STTR data rights language.
    - General updates to Appendix D: Administrative and National Policy Requirements.
- Minor plain language changes to grammar, syntax, and consistency in citations and links.

NOTE: A technical edit to this GPS was published on 12/18/2025. This edit added active links to 2 CFR 300 throughout the document and made a technical correction to language in Section 2.3.4.8. The effective date of this technical edit is October 1st, 2025, consistent with the rest of the GPS.

Chapter 1: Introduction and General Information

The Grants Policy Statement (GPS) is incorporated by reference in the official Notice of Award (NoA) as a standard term and condition.

The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards. The GPS also provides information about the legal and regulatory rules that apply to your award and will be used for enforcement purposes. The GPS will be updated to reflect changes in law and policy.

The latest version of the GPS is on the HHS Grant Policies and Regulations Webpage and it includes:

- Introduction and General Information
- Pre-Award
- Post-Award
- Single Audit
- Appendices
    - Agencies Overview
    - Acronyms and Glossary
    - Post-Award Considerations by Type of Program, Activity, or Recipient
    - HHS Administrative and National Policy Requirements
    - Financial Assistance General Certifications and Representations

1.1: Supersession

This GPS replaces the HHS Grants Policy Statement dated April 2025. It reflects the current 2 CFR 200 and HHS specific provisions at 2 CFR 300 regulations, effective on October 1, 2025.

From this date on, HHS plans to update the GPS annually to make sure it reflects changes in statutes, regulations, and policies.

1.2: Applicability

The HHS GPS Version 2.0 applies to awards and award modifications that add funding made on or after October 01, 2025. This includes supplements to award, competing and non-competing continuations. The GPS applies to all HHS discretionary recipients, except for NIH, and the requirements flow down to subrecipients.

The HHS GPS does not apply to awards made by the National Institutes of Health (NIH). For NIH awards, please see the National Institutes of Health Grants Policy Statement (NIH GPS), which is the policy document describing the requirements that serve as the terms and conditions of NIH awards.

Other than Appendix D, HHS Administrative and National Requirements, the HHS GPS does not apply to non-discretionary awards. It does not apply to awards made to individuals. HHS agencies have the

discretion to apply certain parts of the GPS to non-discretionary awards and other policies to your non-discretionary or individual award.

Agencies that administer HHS awards include:

- Administration for Children and Families (ACF)
- Administration for Community Living (ACL)
- Agency for Healthcare Research and Quality (AHRQ)
- Assistant Secretary for Planning and Evaluation (ASPE)
- Assistant Secretary for Preparedness and Response (ASPR)
- Assistant Secretary for Technology Policy and Office of the National Coordinator for Health Information Technology (ASTP)
- Centers for Disease Control and Prevention (CDC)
- Centers for Medicare & Medicaid Services (CMS)
- Food and Drug Administration (FDA)
- Health Resources and Services Administration (HRSA)
- Indian Health Service (IHS)
- National Institutes of Health (NIH)
- Office of the Assistant Secretary for Health (OASH)
- Office of the Inspector General (OIG)
- Substance Abuse and Mental Health Services Administration (SAMHSA)

See Appendix A for more information.

1.3: Requirements

The following impose requirements on your award and are addressed in the GPS:

- The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200
- HHS-Specific Modifications to the Uniform Administrative Requirements at 2 CFR 300
- The Notice of Award (NoA)
- The Notice of Funding Opportunity (NOFO), if stated in the NOA

Other regulations or statutes with more requirements might apply to your award. These include:

- Grants for Research Projects 42 CFR 52

- Procedures of the Departmental Grant Appeals Board 45 CFR 16
- Claims Collection 45 CFR 30
- Equal Treatment for Faith-Based Organizations 45 CFR 87
- Restrictions on Lobbying 45 CFR 93
- Metric Conversion Policy for Federal Agencies 15 CFR 273
- Public Health Service Policies on Research Misconduct 42 CFR 93
- Protection of Human Subjects, 45 CFR 46

See Appendix D for more information.

1.4: Terms and Conditions

HHS states the requirements of an award in the award terms and conditions:

- The GPS is incorporated by reference as a standard term and condition of awards.
- The NoA includes all terms and conditions of a specific award.
- Notice of Funding Opportunities (NOFOs) describe program requirements, which may be included as terms and conditions.

1.5: Types of HHS Awards

Awards fall into two main types:

- Discretionary: HHS chooses who gets the award and how much. Selection of these awards are generally competitive. The amount of an award can be competitive or by a set formula. Types of discretionary awards include research, training, services, construction, and conference support.
- Non-discretionary: A statute determines the recipients and amounts, either directly or by a formula (i.e., each State gets an award of a certain amount). This includes block grants and entitlement programs.

1.6: Award Instruments

Award instruments are legal agreements between an agency and a recipient. The two kinds addressed in the GPS are:

- Grants: The agency is not substantially involved in the project (31 USC 6302, 6304).
- Cooperative agreements: The agency is substantially involved in the project (31 USC 6302, 6305).

1.7: Roles and Responsibilities

This section highlights roles and responsibilities. The GPS supplies more details throughout.

1.7.1: Recipient Roles and Responsibilities

Recipients manage performance and funds. Required roles are:

- Authorized Organizational Representative (AOR): The AOR has authority to act for the organization and is responsible for meeting award requirements, properly managing the award, and providing oversight. The AOR's signature on a grant application guarantees that the information in the application is correct and the organization is responsible for following all requirements.
- Principal Investigator or Project Director (PI/PD): The PI/PD is the individual(s) designated by the recipient to direct the project or program being supported by the award. The PI/PD is responsible and accountable to officials of the recipient organization for the proper conduct of the project, program, or activity.

1.7.2: Agency Roles and Responsibilities

HHS is responsible to Congress and U.S taxpayers for carrying out its mission in a cost-effective and compliant way. The HHS agencies that administer awards have grants offices and staff designated to conduct this work. The roles and responsibilities of HHS staff (at each agency) include:

- Grants Management Officer (GMO): The GMO is the official who handles the non- program parts of an award for the HHS agency. The GMO is the focal point for receiving and acting on requests for prior approval or for changes in the terms and conditions of award. The GMO is the only official authorized to obligate the HHS agency to the expenditure of federal funds or to change the funding, duration, or other terms and conditions of an award.
- Grants Management Specialist (GMS): Acts as the main grants administration contact for recipients. Handles administrative activities on behalf of the GMO. The GMS contact information can be found on the NoA.
- Project Officer or Program Official (PO): Responsible for the programmatic, scientific, and technical sides of award programs, including oversight and monitoring. The PO contact information can be found on the NoA.
- Review Administrator (RA): Provides oversight of the application review process, although not all agencies have this role.

Chapter 2: Pre-Award

This section helps you find funding opportunities, prepare, and apply.

2.1: Locating Funding Opportunities

Agencies announce competitive funding opportunities. All discretionary Notice of Funding Opportunities are listed on Grants.gov**.** There are three other ways to find more information about HHS financial assistance.

2.1.1: Grants.gov, Forecasts, and the Notice of Funding Opportunity (NOFO)

HHS policy requires maximum competition for discretionary grants to the greatest extent possible. As such, HHS agencies promote the widest and earliest possible spread of information through forecasts of upcoming grant opportunities and NOFOs. Agencies post discretionary or competitive NOFOs at Grants.gov.

Grants.gov is the direct way to find NOFOs. NOFOs are usually open for at least 60 days. Only rarely are they open for fewer than 30 days.

Because HHS aims for the widest and earliest possible spread of information, HHS agencies post future opportunities on Grants.gov through forecasts. Forecasts may be posted weeks or months before NOFOs. Forecasted NOFOs can be found in the Grants.gov search page by clicking the “forecasted” button. Forecasts include helpful information such as:

- expected number of awards
- estimated award amounts
- description of the program
- estimated NOFO posting date
- estimated application due date
- estimated project start date and period of performance

2.1.1.1: How to Subscribe to HHS Grants Forecast

When you create a Grants.gov account, you can customize the type of email notifications you receive. Log in and then go to the subscription page to sign up for news updates about system enhancements, notifications about saved searches, new funding opportunities, and more.

2.1.2: Agency Websites

Most agencies have award web pages. See Appendix A.

2.1.3: SAM.gov and Assistance Listings

Assistance listings are public descriptions of federal assistance programs. All assistance listings are included on the System for Award Management (SAM.gov), a site run by the U.S. General Services Administration. Search assistance listings at SAM.gov.

2.2: Preparing to Apply

The first step is to read the entire NOFO and the links in it. Each part of the NOFO sets out basic information for that award.

To apply, you must:

- be an eligible entity
- address the NOFO requirements
- submit a complete and compliant application by the deadline(s)

2.2.1: General Eligibility Considerations

In general, HHS awards may be made to domestic public or private, non-profit or for-profit organizations. Foreign or international organizations are eligible for research awards, or if expressly authorized by law.

The NOFO includes specific eligibility criteria and any requirements to prove eligibility. Applicant eligibility criteria for all HHS NOFOs are almost always based on statute or program regulation.

HHS policy requires open competition to the greatest extent possible. Restricting eligibility, as compared to statute or program regulations, is only done with appropriate justification in rare cases.

Agencies review applications for eligibility when they receive them. The AOR signature generally serves as assurance of eligibility, unless additional proof of eligibility is required in the NOFO. If the applicant is not eligible, the application will not be reviewed.

2.2.2: Additional Eligibility Restrictions

2.2.2.1: Concurrent Applications

You cannot apply for funding for the same project or activities from multiple HHS Public Health Service (PHS) agencies at the same time. If you do, your applications will be returned. See Appendix A for a list of PHS agencies.

2.2.2.2: Suspension, Debarment, and Exclusion

Agencies are required to check SAM.gov for individuals and organizations that are debarred, suspended, declared ineligible, or voluntarily excluded from receiving HHS award funds. HHS will not give awards to or pay these individuals and entities, including as recipients and subrecipients. If such an individual is involved in an award, costs like their salary are not allowed.

Applicants must disclose if any of the following conditions apply to their organization, planned staff or principals (as defined in 2 CFR 180.995), including Principal Investigators (PIs), and other key personnel:

- Are currently excluded or disqualified.
- Were convicted within the previous three years of any offenses listed in 2 CFR 180.800(a) or had a civil judgment for one of those offenses during that time.

- Are currently indicted for or otherwise facing criminal or civil charges by a governmental entity (federal, state, or local) for any of the offenses listed in 2 CFR 180.800(a).
- Have had any public transactions (federal, state, or local) terminated within the previous three years for cause or default.

Recipients of HHS awards must also make subrecipient organizations and subrecipient participants follow federal Debarment and Suspension regulations (2 CFR 376 and 2 CFR 180). These participants can include:

- Consortiums
- Subcontracts
- Consultants
- Collaborators
- Contractors that require the provision of goods or services that will equal or exceed
- $25,000

These subrecipients must also make sure that anyone they hire with award funds follow the same rules. Before entering into an agreement, these participants should tell the award recipient if he, she, or any principals are excluded or disqualified at that time.

Ultimately, it is the job of the applicant or recipient to make sure none of the subrecipient and principals involved are excluded or disqualified. Award recipients cannot make a transaction with someone who is disqualified unless they get an exception under the disqualifying statute, Executive Order, or regulation from HHS.

For more information, see Suspension and Debarment at 2 CFR 200.214, 2 CFR 180 and 2 CFR part 376.

2.2.2.3: Delinquency on Federal Debt

If an entity or individual owes money to the U.S. with a lien, they cannot get an award. Applicants must state in their applications whether they are delinquent on any federal debts. Agencies may delay awards until federal debts are settled.

Do not include a person in the application if they have unpaid federal debts with a lien. Agencies will disallow costs for these individuals.

See 28 U.S.C. 3201(e).

2.2.2.4: Lobbying Prohibition

Applicants must certify they will not use federal funds to pay any person to influence agency staff, Congress members, and officers or employees of Congress about federal awards.

Applicants with total proposed costs of more than $100,000 must certify that they:

- have not made unallowable lobbying payments.
- will be responsible for reporting on non-federal funds used for lobbying.

- will include these requirements in consortium agreements, subawards, and contracts of more than $100,000 under their award.

See 2 CFR 93, 2 CFR 200.450, and the SF-424 for more about lobbying requirements.

2.3: HHS Application Process

2.3.1: Types of Applications

HHS uses these application types:

- New application: A request for funds for new activities. It can be competitive or not.
- Non-competing continuation application: A request for funds for the next budget period(s) within a period of performance. Agencies provide an NoA with new budget details.
- Competing continuation or renewal application: A request to continue a project that is ending with a new period of performance. This is competitive.
- Supplemental application: A request for more funds in the current budget period. This can be for changes in the project scope, expansion of already approved activities, or for unexpected costs.
- Revised application: A previously not funded application updated and submitted again for review.

2.3.2: Letters of Intent

Before a full application, an agency might ask for a pre-application or Letter of Intent (LOI).

- Pre-applications: Used to filter out applicants that are ineligible for funding.
- Letters of Intent: Agencies might want notice that you plan to apply. This is usually optional and doesn't mean you have to apply. It's mostly to gauge interest and help the HHS agency estimate how many applications to expect.

2.3.3: Application Forms

Forms and instructions are on Grants.gov. You can find a NOFO's required forms in the application package in Grants.gov. The NOFO is your best source when completing forms. The NOFO agency contact, located on the NOFO, can answer any questions you may have.

2.3.4: Application Budgets

You will need to include a budget as part of your application. Some applications require a detailed budget. The NOFO will describe the budget requirements. For HHS budgets, applicants and recipients need to understand:

- The costs allowable under the program

- The relevant cost principles
- The difference between direct and indirect costs
- When you need an indirect cost rate or research patient care cost rate, and
- Any cost sharing requirements

Project costs include allowable direct costs plus allocable indirect costs, minus applicable credits. See below Cost Principles, Direct Costs and Indirect Costs sections of the GPS.

Cost allowability is subject to the governing statute, program regulations, and award terms and conditions. There are situations when HHS will not reimburse indirect costs.

2.3.4.1: Cost Principles

Developing an application budget depends on understanding what costs are allowable under HHS financial assistance programs.

For more information about how cost principles apply to your organization, see 2 CFR 200.401.

This section on cost principles interprets the regulations at 2 CFR 200 and is not all-inclusive. Cost principles:

- Establish general standards for the allowability of costs
- Provide guidance on treating costs as direct or indirect
- Provide principles for selected items of cost

The cost principles apply to all recipients.

You can use your own accounting system to implement the cost principles if you meet the standards for financial management systems at 2 CFR 200.302.

The federal-wide cost principles are in 2 CFR 200, subpart E. The cost principles for:

- Hospitals are at 2 CFR 200 Appendix IX
- For-profit organizations are at 48 CFR 31.2

If specifically identified, use the applicable cost principles for your type of organization. Cases where the cost principles do not apply are listed in 2 CFR 200.401(a).

2.3.4.2: Is It Allowed?

As the HHS agency official for the non-program parts of awards, the Grants Management Officer (GMO) makes the final determination on allowability. For all allowability requirements, see 2 CFR 200.403.

Following is a summary. A cost is allowable if all the following apply:

- It is necessary and reasonable for award performance,
- It complies with any limitations or exclusions in the cost principles or the federal award about types or amounts of cost items,
- It is consistent with policies and procedures across all recipient activities, regardless of source of funding,
- It is consistent across all activities in identifying direct and indirect costs,
- It follows generally accepted accounting principles (GAAP). See 2 CFR 200.403(e) for exceptions,
- It is not used for cost-sharing requirements of another federally financed program, unless specifically allowed by law,
- You maintain required documentation, and
- Administrative closeout costs may be charged until the due date of the final report.

2.3.4.3: Is It Reasonable?

For all reasonableness requirements see 2 CFR 200.404. Following is a summary.

Considerations for reasonableness include:

- If the cost is generally recognized as ordinary and necessary.
- The requirements of:
  - Sound business practices
  - Arm's-length bargaining
  - Federal, state, local, tribal, and other laws and regulations
  - Terms and conditions of the federal award
- If the cost aligns with market prices for comparable goods or services in the geographic area.
- The cost does not significantly deviate from your established practices and policies regarding such costs, regardless of source of funding.

2.3.4.4: Allocability

Allocability in grants means costs that can be applied to your award. For all allocability requirements see 2 CFR 200.405. Following is a summary.

A cost is allocable if any of the following apply:

- It is spent only for the work under a federal award.

- It benefits both the federal award and other recipient work and can be distributed using reasonable methods.
- It is necessary to your overall operations and can be assigned to the federal award.

2.3.4.5: Direct and Indirect Costs

Costs can be direct or indirect:

- Direct costs: Directly related to the cost of the project or project activities. These costs are based on actual expenses or easily estimated accurately. Examples of direct costs are generally salaries, travel, equipment, and supplies directly for grant activities.
- Indirect costs: Not readily tied directly to the project or project activities. If a cost is indirect, it cannot also be listed as a direct cost for any federal award. Examples may be facilities operation and maintenance costs, depreciation, and administrative expenses. You must have or negotiate an indirect cost rate to reimburse indirect costs.

See 2 CFR 200.413-200.414, and 2 CFR 300.414.

2.3.4.6: Indirect Cost Rates

As stated above, indirect costs are for common activities that cannot be specifically tied to a particular project. Examples include facilities operation and maintenance costs, depreciation, and administrative expenses. You must treat costs as direct or indirect consistently.

Indirect costs are allowable under most HHS awards and are charged as a rate. There are three ways indirect costs may work:

- (1) Specified rate. The rate may be specified in statute, regulations, or policy. If this is so, the difference between the specified rate and the negotiated rate can satisfy cost sharing requirements. There are two HHS-specific specified rates to consider:
    - Training grants, including career awards, are limited to 8%.
    - Indirect costs to foreign organizations and foreign public entities when the awarded work is performed fully outside of the territorial limits of the U.S. are limited to 8%.
- (2) Negotiated Indirect Cost Rate Agreement (NICRA). You can negotiate a rate with your cognizant federal agency. If the cognizant agency is HHS, a rate is negotiated by Program Support Center Cost Allocation Services (CAS) or the Division of Financial Advisory Services (DFAS) in the NIH Office of Acquisition Management and Policy (responsible for negotiating indirect cost rates for for-profit recipients). Indirect cost proposals must use the applicable cost principles and cognizant agency guidance.
    - See 2 CFR 200 Appendix III for institutions of higher education
    - See 2 CFR 200 Appendix IV for non-profits
    - See 2 CFR 200 Appendix V for state and local government cost allocation plans
    - See 2 CFR 200 Appendix VI for public assistance

- See 2 CFR 200 Appendix VII for states and local governments and Indian Tribe indirect cost proposals

- (3) De minimis rate. If you do not have a NICRA or other specified indirect cost rate, you can use the de minimis rate indefinitely. We are applying the newly revised rate, in 2 CFR 200.414(f), of 15% of modified direct costs. Modified direct costs are salaries and wages, fringe benefits, materials and supplies, services, travel, and no more than $50,000 of each subaward, minus some exclusions. See 2 CFR 200.12 for the full definition. See 2 CFR 200.414 for more on the de minimis rate.

The de minimis rate is not applicable for some recipients. These recipients include governmental agencies that receive more than $35 million in direct funding and Indian tribal governments. See 2 CFR part 200 Appendix VII (D)(1)(b).

2.3.4.6.1: Exclusions

Some HHS awards and recipients are not eligible for indirect cost reimbursement. This will be described in the NOFO.

Indirect costs are not paid for grants to federal institutions, 2 CFR 300.219(b)(3).

2.3.4.7: Pass-through Entities

Pass-through entities must use their subrecipient's federal NICRA. A 15% de minimis rate may be used if there is no federally negotiated agreement. See 2 CFR 200.414.

2.3.4.8: Salary Rate Limit (SRL)

Generally, the HHS Appropriations Act includes an SRL. This statutory requirement limits the amount of funds under a grant or other extramural mechanism that can be used to pay individual salaries (including executive salaries) at a rate above the Executive Level II. Recipients may pay salaries at a rate higher than the Executive Level II if the amount beyond the HHS SRL is paid with non-HHS funds. Since the Executive Level II rate and HHS Appropriations Act citation changes each year, HHS refers to the Office of Personnel Management (OPM) posting the most recent information at https:// www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary- tables/24Tables/exec/html/ EX.aspx.

The HHS SRL applies to:

- Awards funded by the HHS section of the annual Appropriations Act (most HHS awards)
- Both direct and indirect costs under applicable HHS awards

Effective October 1, 2024, when HHS is the cognizant agency for indirect costs or when HHS is acting as the shared-service provider for another cognizant agency for indirect costs, the HHS component that reviews and negotiates indirect cost rate proposals and cost allocation plans will issue NICRAs that

incorporate the HHS SRL, to comply with the HHS Appropriations Act requirement.

Beginning with HHS awards, including continuation and supplemental awards, made on or after October 1, 2024, HHS recipients that do not have an approved indirect cost rate that complies with the HHS SRL requirement must take and document the following actions:

- Identify any HHS award where HHS funds are used to pay any salary that exceeds the SRL using the HHS award. This includes both direct and indirect costs, both in whole and any portion of a salary that at a full-time equivalent exceeds the SRL.
- Have written policies and procedures that ensure the recipient does not draw down HHS award funds, whether as direct or indirect costs, to pay for salaries above the HHS SRL.

This may occur because the NICRA was issued before October 1, 2024, and it is not yet up for renewal, OR because the NICRA was issued by another cognizant agency for indirect costs that does not have an identical SRL.

A recipient may request a companion rate on the NICRA from HHS that does not incorporate the HHS SRL if:

- HHS is their cognizant agency for indirect costs or HHS is the shared-service provider for their cognizant agency for indirect costs; and
- The recipient is applying for an award from another Federal agency or from a program not subject to the HHS SRL.

2.3.4.9: Cost Sharing

Cost sharing refers to project costs that are not funded by the HHS agency. It is also sometimes called “match.”

Cost sharing can be voluntary or can be required by statute or regulation.

NOFOs include information about:

- Whether there is required or voluntary cost sharing
- The agency's approach to looking at cost sharing during the application review
- Any caps on the agency’s portion of total award costs
- Any restrictions on the types of funding that are acceptable as cost-sharing (e.g., in- kind contributions)
- Required documents, like commitment letters See more on cost-sharing requirements at 2 CFR 200.306.

2.3.4.9.1: Cost Sharing Waiver for the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands

HHS waives all requirements for local matching funds under $200,000 for grants to the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, unless

otherwise directed by any other provision of law.

For local matching funds $200,000 and greater, HHS agencies may waive the matching requirement for awards to these four areas.

HHS agencies may choose to waive matching funds of any amount for any grants to the Trust Territory of the Pacific Islands.

See 48 U.S.C. 1469a(d) and 48 U.S.C. 1469a(d) note (Public Law 96-205, title VI, section 601).

2.3.4.10: Program Income and Third-Party Reimbursement

Program income is money a recipient earns that is both:

- Earned during the period of performance
- Earned directly from an activity funded by the award or due to the award

This can include money earned from things like:

- Services performed under the award
- Renting property bought with award funds
- Selling items made with award funds
- Principal and interest on loans made with award funds
- Royalties from patents and copyrights

It does not include:

- Interest earned on advances of Federal funds or things like rebates, credits, discounts, and interest earned on any of them unless stated otherwise in the NOFO or NoA.

The full definition for program income is found at 2 CFR 200.1 “Program Income”.

In addition to being encouraged to earn income to defray program costs when appropriate, program income must be used for the original purpose of your award.

NOFOs might ask for estimated program income in the budget. NOFOs explain how to use expected program income.

There are no requirements for what to do with income earned after the end of the award period of performance, unless the NOFO or NoA says otherwise.

See more on the treatment of program income at 2 CFR 200.307, 2 CFR 300.218, and 2 CFR 300.219.

2.3.5: Unique Entity Identifier (UEI) and registering in SAM.gov

Every applicant needs a Unique Entity ID (UEI) from SAM.gov.

- For a new UEI, register on SAM.gov. You'll get an email when it's active. This can take time.
- If you already have a UEI, renew on SAM.gov yearly.
- Keep your SAM registration details current.
- Make sure that your SAM registration is accurate for both contracts and grants.

For more information, see Get Ready for Grants Management at HHS.gov.

2.3.6: State and Local Review Requirements

Federal rules allow state and local governments and health agencies to review and comment on applications. You will find the requirements in the NOFO. There are two types of reviews:

- Intergovernmental review. Executive Order 12372 and 45 CFR 100 allow for intergovernmental review by state and local governments through the State Single Point of Contact (SPOC).
- Public health system reporting. This reporting provides state and local health agencies with information on applications by health care delivery programs. If a state or local health official wants to review a full application, the official contacts the SPOC.

Contact your SPOC to learn more. Find SPOCs at on the HHS Grants Policies and Regulations webpage under HHS Intergovernmental Review . Not all states have this process.

2.4: Applying

In almost all cases, you will need to submit applications online. All HHS agencies are required to post their competitive NOFOs on Grants.gov and will also post there how to apply online.

Agencies will not review applications that are from ineligible applicants, incomplete, are not compliant, or are not responsive to program requirements.

Send your application by the NOFO's deadline. If you are late, it will almost always be deemed non-compliant and will not be reviewed.

The AOR's signature on an application certifies that:

- The information in it is truthful, complete, and accurate.
- The applicant will comply with all required certifications and assurances.
- The applicant will comply with terms and conditions when accepting an award; and
- The non-federal entity is aware that any false, fictitious, or fraudulent statements or claims may subject the applicant to criminal, civil, or administrative penalties.

Some agencies might allow paper or email submissions. The NOFO will explain exemption requests. These are rare.

PLEASE NOTE: Applicants must register with Grants.gov. For how to register with Grants.gov, see Registering an Organization or contact the Grants.gov contact center at 1-800-518-4726 or support@grants.gov. Registering can take up to one month.

2.5: Application Receipt and Review

2.5.1: Initial Eligibility Review

The agency screens applications for eligibility. Unless the NOFO requires specific proof of eligibility, the AOR's application certification is enough.

2.5.2: Use of Application Information

Agencies protect your application information during merit review and in accordance with laws like the Freedom of Information Act and Privacy Act of 1974. Once awarded, the government can only use or share data as federal law allows. To help safeguard your information:

- Avoid sharing personally identifiable information
- Only add confidential information if necessary

See GPS section 3.4.11.2 Access to Data and Research Data.

2.5.3: Merit Review

Merit review is a review by those with expertise in the programmatic subject matter area for the submitted applications.

Applications for discretionary programs, whether received in response to a NOFO, requested from a single source (very rare), or received as an unsolicited request for grant funding, will go through a merit review. (Please note, HHS does not guarantee unsolicited applications will be accepted. Therefore, they may or may not go through a merit review.)

The merit review provides recommendations to the individuals responsible for making award decisions. Merit review is necessary to make sure HHS choses applications that best meet the needs of the program. These needs must be based on what the NOFO says about what makes a successful application.

Peer review is a form of merit review. Reviewers are peers with expert knowledge about how the program topic. Sometimes, the program statute may tell us which type of reviewers to pick or how a review should happen.

2.5.4: Award Risk and Business Review

Before award, agencies do pre-award risk and business reviews of applications. These can include:

- Cost analysis of the budget
- Assessment of management systems
- Final review of applicant eligibility

- Compliance with public policy requirements

During this review, the agency might request more details or actions from you.

Following review, officials make decisions about making the award, adding special conditions, and funding level.

2.5.4.1: Cost Analysis

HHS agencies careful review of the applicant budget includes:

- a review of the cost breakdowns
- a check to make sure the cost data in the application is correct
- an overall review of the costs for need for and the reasonableness and allowability of proposed costs

The review depth depends on project complexity, applicant prior experience, and other factors.

2.5.4.2: Management System Analysis

Applicants must have systems, policies, and procedures in place to manage award funds and activities. HHS agency staff take a close look at your financial and business management systems. This review includes property management and procurement systems and helps ensure:

- Applicant organizations apply policies and procedures consistently, regardless of funding source; and
- Systems meet the standards and requirements in 2 CFR 200.302, Financial Management.

2.5.4.3: Civil Rights Assurance

Domestic recipients, subrecipients, and contractors must file Form HHS 690, Assurance of Compliance once with the HHS Office for Civil Rights (OCR). It is not needed for each application.

The recipient must ensure that subrecipients and contractors have filed the form.

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

All recipients subject to Title IX requirements must also adhere to the following term:

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal

Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and recipient will remain compliant for the duration of the Agreement.

- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001

2.5.4.4: Human Subjects and Animal Welfare Assurance

If IRB review and approval is required but still pending at the time of award, agencies will restrict human subjects research until they get and approve the needed proof. Additional information is available on the Office of Human Research Protections website. This includes a series of decision charts to help assess whether an activity is human subjects research covered by the regulation and when an exemption may apply.

Before getting an award, if applicants plan to use vertebrate animals, they must send an Animal Welfare Assurance to HHS' Office of Laboratory Animal Welfare. This confirms that a committee has reviewed the parts of the application related to animals.

2.5.5: Communicating Decisions

Agencies inform applicants about their decisions in various ways:

- Award: If you are getting an award, you will receive a Notice of Award (NoA).
- Denial: If the agency decides not to fund your application, the AOR gets a letter.
- Approved unfunded: Sometimes, despite a good review, there's not enough funds. The agency could keep your application for future funding. The agency will notify the AOR that your application is approved but unfunded.
- Revised application eligibility: If not successful, the NOFO might allow you to adjust and reapply later. However, some agencies cap the number of revisions and retries.

You cannot appeal a denial, or the amount of funds awarded.

2.6: The Notice of Award

The Notice of Award is a legal instrument. See 2 CFR 200.211 for the contents of an NoA.

2.6.1: Accepting the Award

Once accepted, the contents of NoAs are binding.

Applicants become recipients when the NoA is signed by the agency's Chief Grants Management Officer (CGMO) or his/her delegate. The recipient accepts an award by drawing down funds.

HHS expects recipients to draw down funds in the first 30 days of the period of performance. If you fail to draw down funds in a timely manner or justify the delay in your acceptance of the award, HHS may take further action to amend or withdraw your award.

2.6.1.1: Declining or Negotiating Awards

During the time between the NoA being signed and the drawing down of funds, if you can no longer accept an award or need to negotiate any award parts, tell the agency. If no agreement is reached, the agency will cancel the award. You cannot challenge the agency's decisions on the terms and conditions.

2.6.2: Periods of Performance

HHS uses the period of performance system for funding awards. Funding is provided in approved yearly increments called budget periods. The total period of performance includes the initial competitive segment, any additional segments authorized by approved continuation applications, and any no-cost extensions.

A competitive segment usually will be no longer than five years, not including no-cost extensions. A single federal award for the entire period of support may be used if the project is only construction or modernization or if the total planned project will be less than 18 months.

The agency will determine the length of the period of performance based on:

- Any statutory, regulatory, or administrative requirements.
- The length of time requested by the applicant.
- Any time limits on the period of performance recommended by merit review.
- The frequency of merit review.
- The funding principles as specified in the NOFO.

The NoA generally approves a period of performance that goes beyond the current budget period, showing the HHS agency's intention to continue providing support. Funding for future budget periods is not guaranteed at the level shown on the current NoA. There is no legal obligation for HHS agencies to provide funding beyond the end date of the current budget period in the NoA.

Recipients must submit a continuation application or annual report to get approval and funding for each new budget period within the approved period of performance. The HHS agency will make its decision to fund the next budget period by issuing a NoA which shows the new budget period and amount of new funding. Funding is based on adequate performance, availability of funding, and program goals and agency priorities.

Budget periods usually last 12 months. However, they may be shorter or longer based on programmatic or administrative needs. The NoA will show the total approved budget for the applicable budget period. This includes direct costs, applicable indirect costs, and any required cost sharing.

2.6.3: Costs in the NoA

The initial NoA and each subsequent NoA provide details of the award, and the amount awarded. After the initial budget period, NoAs may reflect any authorized carryover and amounts previously awarded for the full period of performance. The amount awarded is shown either as total direct and indirect costs or as a categorical (line item) budget breakdown. This is based on the requirements in the NOFO.

Recipients have certain rebudgeting flexibility within the overall amount awarded. However, the total amount awarded is the maximum amount the agency is obligated to pay under that award. Once an award is made, the HHS agency is not required to provide any supplemental or additional funding.

Chapter 3: Post-Award

As a recipient, you will manage HHS awards and activities including:

- Project performance, 2 CFR 200.301 and 2 CFR 200.202
- Use of award funds
- Compliance with award terms and conditions
- Issuing and monitoring subawards per 2 CFR 200.332 Recipient internal controls and policies must meet 2 CFR 200.303.

Agency staff monitor recipients for compliance, performance, and need for technical assistance. Reviews include:

- Recipient reports
- Financial and progress reports
- Audit reports
- Correspondence
- Onsite and remote site visits
- Other information

The Notice of Award supplies HHS contact information and instructions for reporting.

3.1: Changes to Awards

3.1.1: Prior Approvals

At times, you may need to make changes to the program budget or activities. Some changes require prior written approval. To find out if a change needs prior approval:

- Carefully review your NoA.
- Review 2 CFR 200.407 for actions needing prior approval.
- Review Appendix E of the GPS for prior approval requirements for certain types of awards.
- Ask your GMS if you are not sure.
- Ask your cognizant agency for indirect costs if you have questions about changes to indirect costs. The cognizant agency is the federal agency that approved your indirect cost proposal.

3.1.1.1: Seeking Prior Approval

Once you know that you need prior approval, you can request it from your GMS. Prior approval requests must include:

- Recipient name

- Principal investigator (PI) or project director (PD) and authorized organizational representative (AOR) name
- PI or PD and AOR telephone numbers and e-mail addresses

You must send your prior approval requests in writing, by mail, prior approval system, or email. It must:

- Be signed by the AOR (if sent in an email, attach the signed letter/memo)
- Include any necessary supporting documentation
- Get to the agency in enough time for approval before making the change

Once received, the agency GMO or his or her designee will review and approve or deny the request:

- If the GMO or GMS decides the change does not actually require prior approval, the agency must promptly inform you.
- If prior approval is required, the GMS will send a decision to the AOR with a copy to the PI or PD within 30 calendar days of receipt.

Only the GMO or GMS, as the GMO's delegate, can issue written approval. Informal answers are not valid.

There is no appeal for denial of a prior approval request.

If costs or actions that require prior approval are detailed in an application, the award's issuance based on that application serves as the prior approval authorization. For indirect cost components, prior approval must come from the relevant agency or as per the associated cost principles.

3.1.1.2: Subrecipient Prior Approvals

The recipient has the authority to give prior approval for changes to sub-award or contract activities or budget. This does not include any action inconsistent with the award purpose or terms and conditions. The agency must approve any actions that will result in a change to project scope. Ask the GMS if you have questions about a proposed change.

3.1.2: Budget and Scope Changes

3.1.2.1: Minor Budget Changes

Within a budget period, you can adjust your budget without prior approval if:

- The change is within or between approved direct cost categories.
- Your award's federal share is below the simplified acquisition threshold, and your NoA doesn't include a prior approval need. Check the current threshold in the Federal Acquisition Regulation (FAR) at 2.101, Definitions.

Recipients should ensure that they have appropriately documented budget changes as part of the grant record.

3.1.2.2: Significant Budget Changes

Significant budget changes in line with 2 CFR 200.308(i) require prior approval. Budget changes are considered significant when:

- Your award exceeds the simplified acquisition threshold (set by 48 CFR 2.101), and
- The cumulative amount you want to transfer between direct cost categories is expected to be more than 10 percent of the total budget.

If both conditions apply, you need to request prior approval. To calculate the total budget, use the last total budget amount approved by the agency, including cost share.

See 2 CFR 200.308(i).

3.1.3: Expanded Authority

If expanded authority is not granted in your NoA, you do not have it. To know if you have any expanded authorities:

- Review your NoA. Expanded authorities may be adopted by reference.
- Review your specific award conditions. These may include expanded authorities or limits on them.

When using expanded authorities as granted in the NoA, make sure you follow award requirements and the cost principles. All changes are subject to monitoring, audit, and related remedies for noncompliance. See the section below.

Expanded authorities may include:

- Waiving the prior approval requirements in 2 CFR 200, except for those listed in 2 CFR 200.308(f) and
- Three specific waivers in 2 CFR 200.308(g), including:
    - Incurring project costs up to 90 calendar days before award. Doing so is at the recipient's risk.
    - Carrying forward unobligated balances to the next budget period unless the funds are currently restricted. You need prior approval to carry forward any unobligated balance to any budget period other than the next budget period.
    - Initiating a one-time extension of the period of performance by up to 12 months unless any of the following are true:
        - The extension requires additional federal funds
        - The extension involves any change in the approved project objectives or scope

Recipients may not use a one-time extension only to use unobligated balances.

Please Note: For awards that support research, unless your agency provides other instructions in the NoA in general or because it is part of a regulation, the three specific waivers above (in 2 CFR

200.308(g)) are automatic and noted in your NoA.

Several expanded authorities have specific deadlines for reports or notification. If a recipient consistently fails to meet them, the agency may stop their ability to use them. Be sure to read your NoA carefully or ask your GMS if you have questions about expanded authorities under your award.

3.1.4: Extensions to Awards

The agency may provide more time and funds after the award. The two types of extensions are:

- No-cost extensions: A time extension without more funds.
- Funded extension: A time extension with added funds.

3.1.4.1: No-Cost Extensions

HHS agency prior approval is required for no-cost extensions, unless provided as an expanded authority. See 2 CFR 200.308.

When prior approval is required, the recipient must request the no-cost extension no less than 10 days prior to the end of the budget period in the last year of the period of performance.

In cases where there is expanded authority, the recipient must notify the HHS agency in writing with the supporting reasons and a recommendation for revised period of performance at least 10 calendar days before the end of the period of performance in the original NoA. See 2 CFR 200.308(g)(2).

Regardless of whether approval is required, no-cost extensions are not meant to just spend unobligated funds. The purpose of a no cost extension is to:

- complete the project
- provide for an orderly shutdown, or
- in some cases, provide a bridge to the next award.

If using expanded authority, and you do not need permission, you must tell the agency.

3.1.4.2: Reminders for All Extensions

- You can't extend a period already lengthened by the agency.
- Award terms and conditions still apply during the extended time.
- No matter the extension length, you must keep sending required reports as set out in your award.
- You must update all necessary certifications and assurances, including those about human subjects and animal welfare, following relevant rules and policies.
- A second extension longer than 12 months should be rare and will need special justification.
- If the agency denies an extension, you cannot appeal it.

3.1.4.3: Supplemental Funding Extension Without Change in Scope

A recipient may request supplemental funding with an extension of time without a change in scope that is under 25% of the total approved budget or $250,000, whichever is less, for the period of performance. These extensions are not competitive. Approving a request is at the discretion of the agency and depends on availability of funds.

3.1.4.4: Supplemental Funding Extension with Change in Scope

For supplemental funding and an extension of time with a change in scope, you must submit the request at least 30 days before the period of performance ends. The request must include the proposed revised ending date and justify both the extension and any additional funds. These extensions are not competitive. However, the HHS agency will conduct a merit review and will have to internally justify the award.

3.1.5: Transferring Major Work to A Subrecipient

3.1.5.1: Non-Pass-Through Programs

For these awards, you have a substantial project role and cannot just be a conduit for another party.

Before transferring major or substantive work to a subrecipient not in the approved application, you must get prior approval. This does not apply to buying or obtaining regular goods or services.
When asking for prior approval, include:

- What activities or tasks you want to transfer
- Why a third party should do them
- A detailed cost estimate and reasons, including any indirect costs and their reimbursement method
- How you'll choose the subrecipient
- The type of subaward planned
- The types of organizations you'll solicit; If you've already chosen one, name it and explain why

3.1.5.2: Pass-Through Recipient

A pass-through recipient means a non-Federal recipient that provides a subaward to a subrecipient to carry out part of a Federal program. In a pass-through program, the recipient:

- Chooses subrecipients to deliver services
- Coordinates and oversees their activities
- Gives needed administrative support to meet agency requirements

For these programs, you don't need prior approval to give a subaward.

3.1.6: Change in Recipient or Recipient Status

The following section addresses policies for changes in recipient organization, scope, status of key personnel, and organizational status.

3.1.6.1: Change of Recipient Organization

To transfer the legal and management responsibility of an award to another organization, you must get prior approval.

The agency must ensure the award's purpose and scope remain the same and the transfer aligns with federal appropriations laws and the statute or authority for the underlying award.

HHS allows transfer to a new recipient organization if:

- The award to be transferred has been terminated per 2 CFR 200.340.
- There is a successor in interest or name change. Please contact your GMS for more information about the difference between these two.
- The agency holds back a non-competing continuation award for reasons other than the project's performance. This can relate to the recipient's award management or not meeting terms and conditions.
- The original recipient agrees to give up the award before the period of performance ends. This can happen if a PI moves to a different organization. The project, with the same PI, can continue up to the current period of performance but not beyond. Costs cannot exceed the approved direct and applicable indirect costs.

Send your request as soon as possible before the end of the approved budget period within the period of performance.

If you want a change in organization, you must get prior approval from the GMS and sometimes, the Office of General Counsel. Contact the GMS if you believe the award needs to go to a new organization, ideally a few months ahead. Early requests enable important discussions, smooth review of the request, and avoid delays.

3.1.6.1.1: Supporting Documentation Needed for Requests

From the original organization:

- The PHS 3734, “Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant,” or an equivalent form from the agency.
- For research awards, include a “Final Invention Statement and Certification.”
- A final Federal Financial Report within 120 days after the end of HHS support.

From the proposed new organization, the agency will request an application and will provide instructions for completing the application.

3.1.6.1.2: Requirements for Review and Possible Approval

Transfer requests are only considered when:

- All benefits of the original award, including equipment purchased fully or partly with award funds, are transferrable.
- The agency decides there is a continued need.
- There is no change in the project's scope. If there is, it may need a merit review and possibly a different procedure.
- The facilities and resources at the new organization will allow for successful performance.
- For transfers to or between foreign or international organizations, any special approval requirements are met. This might include approval by an advisory council or board.

Even if the requirements above are met, the HHS agency may reject the request or terminate the award.

To implement a recipient change, the HHS agency:

- Sends a revised NoA to the original recipient, updating the budget and end dates.
- Removes any support for future years.
- Deobligates any remaining funds, based on the expenses from the relinquishing statement.
- Issues a NoA to the new recipient, reflecting the balance from the relinquishing statement.

3.1.6.2: Change in Scope

The PI/PD may want to make changes in the methodology, approach, or other aspects of the project that change the scope. The GMS must give prior approval for a proposed change in scope.

A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application. This might include:

- Shifting the research emphasis from one disease area to another.
- Changing the service area.
- Eliminating a primary care delivery site.
- Making budget changes that cause a project to change substantially.

The HHS agency makes the determination of whether a proposed change is a change in scope.

3.1.6.3: Change in Status of Key Personnel

Key personnel include the PI or PD, and any other key personnel named in the NoA.

Provide written request to the GMS if any key personnel:

- Withdraw from the project entirely.

- Are absent from the project for a period of three months or more.
- Reduce time devoted to the project by 25 percent or more from the approved level.

The agency must approve replacement of key personnel, or any alternate arrangement proposed.

A request for approval to substitute key personnel includes:

- A justification for the change
- The proposed person's biography
- Other sources of support, if applicable
- Any budget changes resulting from the proposed change

If your proposed arrangements are not acceptable to the agency, they may suspend or terminate the award. If unable to make suitable arrangements, you may relinquish the award. To do so, notify the GMS in writing. The GMS will forward closeout instructions.

3.1.6.4: Change in Organizational Status

You must inform the agency ahead of time about specific changes in your organizational status to ensure a smooth transition and maintain compliance with administrative requirements. The following are the situations that require prior notification:

- Successor-in-interest: This happens when the obligations and rights of an award are acquired as a part of the transfer of assets. Common causes include legislation or legal actions such as mergers or shifts in corporate structure.
- Name change: This occurs when an organization changes its name, but it doesn't affect the rights or obligations of the award recipient.
- Merger: This is when two or more entities legally unite. Handling of this scenario depends on its nature:
    - If the merger results in the transfer of awards, use the policies for a successor-in-interest.
    - If the merger doesn't involve award transfers, it's treated as a name change.

If the change would be considered a change of recipient organization as discussed above, then you must obtain prior approval.

For any change in organizational status, ask your GMS. This agency is usually the one that has granted you the most awards. The GMS can clarify whether the change will be treated as a name change or a successor-in-interest and guide you on the necessary steps to follow.

3.2: Financial Management

You must meet the standards and requirements for financial management systems in 2 CFR 200.302. You must have adequate internal controls and a way to manage your award consistent with Department of the Treasury requirements. See the Payment section of GPS.

Financial management systems must:

- Provide accurate, current, and complete financial information about federal awards.
- Provide reasonable procedures to ensure that subaward recipients submit timely financial reports.
- Maintain records that:
    - Identify the sources of funds for award-assisted activities.
    - Identify the award's purposes and uses, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income.
    - Include accounting records supported by source documentation, such as canceled checks, paid bills, payrolls, and time and attendance records.
    - Maintain effective control and accountability for all cash, property, and other assets under the award; adequately safeguard them; and ensure that they are used only for authorized purposes.
    - Compare actual expenditures with the approved budget amounts for the award.
    - Include written procedures to implement the requirements of 2 CFR 200.205 and 2 CFR 300.305.
    - Include written procedures for determining the allowability of costs in accordance with 2 CFR 200 Subpart E.

Deficiencies in your financial management system may result in specific award conditions or increased monitoring.

States must expend and account for funds according to state laws and procedures for the state's own funds and ensure compliance with all the requirements above.

3.2.1: Payment

You accept an award and its terms and conditions by drawing down or requesting award funds from the designated HHS payment system or office.

HHS generally makes award payments through the Payment Management System (PMS). HHS grant payments are generally advance payments. You should draw down funds as often as needed.

In accordance with Department of Treasury regulations, you must draw federal cash only for your immediate needs. At time of draw down, you will certify you will not hold cash beyond three working days. You are responsible for knowing when funds are deposited into your bank account so that you can disburse them on time. You may end up with excess Federal cash on hand if you do not disburse or return funds on time. Do not request cash to cover unliquidated encumbrances, obligations, or accrued expenditures until payment is pending.

Refer to the Payment Management System (PMS) website and PMS User Guide | HHS PSC FMP Payment Management System for further guidance.

3.2.2: Types of Payment

As noted, HHS grant payments are generally advance payments. There are multiple ways to receive payments, including SMARTLINK II/ACH, CASHLINE/ACH, and cash request.

- SMARTLINK II/ACH: directly deposits funds to your bank account after you request them from PMS. You must have Internet access to submit a request for funds to PMS. This method makes funds available the day after the request using the Federal Reserve Bank's Automated Clearinghouse process.
- CASHLINE/ACH: directly deposits funds to your bank account using a telephone to call a "voice-response" computer at PMS. Makes funds available the day after the request with direct deposit using the Federal Reserve Bank's Automated Clearinghouse process.
- Cash request: provides payment if you are not eligible for unrestricted advance of funds. It will say in the NoA if you must use cash requests for payment. Cash requests may be an advance or reimbursement.

You may request funds monthly for advance payments. This request should be based on expected disbursements for following month and the amount of Federal funds already on hand.

A request for reimbursement may be submitted more often than monthly. You should submit requests to the agency at least 2 weeks before the cash is needed. PMS makes payment electronically through the ACH process upon receipt of the approved payment request from the agency.

Refer to the Payment Management System (PMS) website and PMS User Guide | HHS PSC FMP Payment Management System for further guidance.

3.2.3: Interest Earned on Advances of Award Funds

You must keep advance payments in interest-bearing accounts, except as provided in 2 CFR 200.305(b)(11). You can keep interest earned up to $500 per year for administrative expenses. Each year, you must remit any interest earned over $500 per year to the Payment Management System.

3.2.4: Indirect Costs

3.2.4.1: Indirect Cost Rate Negotiation and Salary Rate Limit (SRL) Policy

Please see Indirect Cost Rate Negotiation and SRL Policy in the Application Section.

3.2.4.2: New or Amended Indirect Costs

The GMO may permit new or increased indirect costs on an award in alignment with the recipient's negotiated indirect cost rate agreement when:

- A timely cost proposal was not received.
  - This can happen only if funds are available.
  - The amount is limited to the period after the effective date of the rate agreement.
- Rebudgeting changes a direct cost, which impacts an indirect cost.

- The recipient may adjust the budget within the award ceiling and generally does not need prior approval. See Prior Approvals section of the GPS.

- The indirect cost rate changes.
  - Generally, award amounts will not be adjusted based on a negotiated indirect cost different from that used at award.
  - However, if funds are available, a GMO may provide additional funds for indirect costs, only if:
    - An error was made in computing the award. This includes when a higher rate is negotiated after award and the date of the new rate agreement is within a month prior to the budget period start.
    - The agency restores funds previously recaptured as part of an unobligated balance.
    - The recipient is eligible for additional indirect costs associated with additional direct costs awarded, such as a supplemental award.
    - A provisional rate was approved, and an approved indirect cost rate is now in effect.
  - The permanent rate will be used to determine indirect cost reimbursement, however:
    - If the permanent rate is lower than the provisional rate, the award will not be adjusted downward, unless the indirect cost proposal included unallowable costs.
    - The agency is not required to provide new funds to accommodate a higher rate.

3.2.5: Applicable Credits

Applicable credits are funds saved or received that can reduce costs. Common examples include:

- Discounts
- Rebates
- Refunds for losses
- Corrections for overcharges

If you have any of these credits, you need to update the Federal Financial Report (FFR) to ensure that the proper amounts are charged to the award. If there are any extra steps, the agency will let you know.

See 2 CFR 200.406.

3.2.6: Allowable Costs and Activities

Allowable costs are either a direct cost or an indirect cost, and:

- Meet the applicable cost principles, including all the following:

- Meet the factors affecting allowability. See 2 CFR 200.403;
- Are reasonable. See 2 CFR 200.404;
- Are allocable. See 2 CFR 200.405; and
- Are allowable under the NOFO, program requirements, and NoA, including specific conditions and overall terms and conditions.

- Are specifically approved in the award, which means either:
  - The cost was included in the original award; or
  - The cost is later approved by the agency. See the Prior Approvals section of GPS.

Contact the GMS before incurring a cost if you have questions about allowability.

Subrecipients and contractors under the award must follow the requirements of their applicable cost principles.

3.2.6.1: Costs that Require Prior Approval

If you specifically describe a cost or activity that requires prior approval in your application budget, that cost is approved by the agency when you receive your award unless otherwise stated in the NoA. You do not need to get additional prior approval for that cost or activity. You must get prior approval from the agency if you do not describe the cost or activity that requires prior approval in your application.

3.2.6.2: Profits and Fees

HHS will not provide profits or fees, except for the Small Innovation in Research (SBIR) and the Small Business Technology Transfer (STTR) Programs.

You can't pay fees to subrecipients or consortium members, even if they are for-profit.

Contractors can make a profit for common goods or services in accordance with normal commercial practice. See 2 CFR 200.331.

3.2.7: Expenditure Adjustments

Expenditure adjustments are used to correct accounting or bookkeeping errors. These adjustments move costs between two budget categories, with at least one related to the HHS award. Once the error is found, it must be corrected within 90 days. If after 90 days, you must ask the GMO for approval.

Don't use expenditure adjustments to cover cost overruns or for unallowable costs.

3.2.7.1: Documentation

The adjustment must be supported by documentation that fully explains how the error occurred. Documentation must:

- Explain how the error happened and have an official from your organization certify the correction.

- Show how the adjustment meets the cost principles of allowability, allocability, and reasonableness.
- Support why the adjustment is needed, considering the type of cost, the original charge, and when it was first recorded.

Unless the expenditure adjustment needs GMO approval, you don't need to send the documentation to the GMS. Keep records for monitoring or audits. See 2 CFR 200.337.

Send a revised Federal Financial Report (FFR) if the adjustment changes your previous FFR.

Your financial system should catch errors quickly. Regular mistakes suggest you need to improve your accounting or internal controls. Agencies might ask for corrective actions or add terms and conditions to your award.

3.2.8: Rate of Expenditure and Drawdowns

Expenditure and drawdown rates give information about progress, financial management, and internal controls.

3.2.8.1: Expenditures

The GMS monitors spending rates within each budget period and throughout the period of performance.
The funds for each budget period are based on:

- the work planned for that time
- your budget, including any unobligated funds

HHS expects spending rates and types to match the approved plan and budget.

3.2.8.2: Drawdowns

The GMS checks drawdown patterns to see if money is taken out too early or too slowly. This can show:

- problems with your financial management system or internal controls
- risk of not finishing the project on time and within budget

If issues are found, the GMS will ask for more details and help you make corrections, which may include coordinating with the agency PO and GMS.

3.2.9: Cost Allocation

If a cost benefits more than one project or activity, divide the cost based on the benefit to each project.

If it is hard to determine the split because the projects are closely linked, distribute the costs on a reasonable basis with clear and documented explanations.

3.2.10: Treatment of Unobligated Balances

Unobligated balances are funds under an HHS award that you have not obligated. You calculate this by subtracting the cumulative amount of funds obligated from the cumulative amount of funds authorized.

Unliquidated obligations are commitments you have made, but not yet paid. Unliquidated obligations should not be reported as part of an unobligated balance.

If you have unobligated balances in your annual FFR, the agency can:

- Carry Over: Revise the NoA to carry over to a following budget period.
- Offset: Move them to the next budget period but deduct the total from the award amount.
- A Mix: Use a mix of carry over and offset.

During an active budget period, if you have unobligated balances from a previous budget period, you can ask the agency in writing to use them. If approved, the agency will amend the NoA. If approved, funds carried over can be used for costs within scope of the project.

3.2.11: Program Income

Program income is gross income earned by an award recipient, subrecipient, or contractor and directly generated by an award-supported activity or earned because of the award.

Program income includes:

- fees for services
- charges for the use or rental of real property, equipment, or supplies bought with the award
- the sale of products made under an award
- charges for research resources
- license fees and royalties on patents and copyrights

The NoA governs the use of royalties and other income earned from a copyrighted work, patents, patent applications, trademarks, or inventions.

3.2.11.1: Accountability

Accountability refers to whether the agency specifies how the program income is to be used, if the income needs to be reported to the agency, and for what length of time. The following general policies apply:

- Unless otherwise specified in the award terms and conditions, you are not accountable for program income earned after the period of performance ends.
- Program income must be used for the original purpose of the Federal award and may be used only for allowable costs using the applicable cost principles and award terms and conditions.
- Subawards and contracts are subject to the same terms regarding generated income as the

recipient. The following policies apply related to when the program income is earned:

- Received and expended during the period of performance. Recipient is required to use program income as provided in the NoA.
- Received and expended after the period of performance. Required to adjust the final FFR to reflect receipt and use of the income as directed by the GMO.
- Received during the project period but expended after the period of performance. This may happen if you earn the income during the final budget period of the period of performance, please get GMO approval to use income post final budget period and adjust the final FFR accordingly.

3.2.11.2: Alternatives for Use

The NoA will tell you how to use program income. Here are the alternatives:

- Additive: Add it to the project's funds to further allowable objectives. Program income must be used for the purposes and under the conditions of the award.
- Deductive: Deduct it from the project's total costs and reduce federal funds and recipient cost-sharing contributions.
- Combination: Uses the additive alternative for program income up to $25,000 and the deductive alternative for any amount over $25,000.
- Cost sharing: Use it as all or part of the non-federal (matching) part of an award. See 2 CFR 200.307(b) for more information.

Generally:

- For non-research projects: If not specified in the NoA, use the deductive method.
- For research projects (except for awards to for-profit organizations other than the SBIR and STTR programs): If it is not specified, use the additive method.

3.2.11.3: Reporting of Program Income

Recipients must report the amount of net program income earned and expended on the FFR. This is the gross program income earned minus the costs associated with generating the income.

- Report program income using the additive alternative on line 10n, which will populate line 10o.
- Report program income using the deductive alternative on line 10m, which will populate line 10o.
- Report program income used to satisfy match on line 10j. Do not include it on line 10l.

Reporting requirements are in the NoA for accountable income earned after award support ends.

3.2.12: Cost Sharing

Cost sharing, or matching, is the portion of project costs not paid by federal funds, unless otherwise

authorized by federal statute. This may include:

- The value of allowable third-party in-kind contributions
- Non-award funded expenditures made by the recipient

See 2 CFR 200.306 for rules on cost sharing.

The following policies apply:

- Cost sharing may be voluntary or required by the NoA.
- Required cost sharing is part of the total approved budget in the NoA. It is part of the award requirements and enforceable.
- Cost sharing must follow the same requirements as the federal portion of the budget. This includes applicable cost principles, prior approval requirements, and other rules for allowability.
- Recipients may apply program income toward cash match only when expressly permitted by the NoA with prior approval.
- All cost sharing contributions must be from allowable sources. See 2 CFR 200.403, 2 CFR 200.404 and 2 CFR 200.405.
- For research awards:
  - Voluntary cost sharing is not expected under research proposals.
  - Voluntary cost sharing cannot be used as a factor during merit review of research applications unless explicitly described in the NOFO review criteria.
  - Only mandatory cost sharing or cost sharing committed in the budget must be included in your research base for computing your indirect cost rate or reflected in allocating indirect costs.

The agency will accept shared costs, including cash and third-party in-kind contributions, when they meet all the following:

- follow 2 CFR 200.306(e) for volunteer services
- are verified from the recipient records
- are necessary and reasonable to accomplish project objectives
- are provided for in the approved budget when required
- are not paid by the federal government under another federal award, unless specifically allowed by law. See 2 CFR 200.306(b)(5).

The following policies apply:

- Sources of cost sharing or matching contributions must follow the applicable cost principles. See 2 CFR 200 Subpart E.
- If an agency authorizes the recipient to donate buildings or land for construction or facility

acquisition or long-term use, the value of the donated property for cost sharing is generally the lesser of:

- the value of the remaining life of the property recorded in the recipient's accounting records at the time of donation
- the current fair market value. See 2 CFR 200.306(d).

- You must document in your records all costs and contributions used to satisfy a
- cost-sharing requirement. These are subject to audit.
- You may use unrecovered indirect costs to satisfy cost sharing requirements with prior approval. These are the difference between the amount charged to the award and the amount that could have been charged to the award under the recipient's approved negotiated indirect cost rate.
- A third-party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing requirement only if either:
  - it is an increase in the services or property provided under the contract without added cost to the recipient or subrecipient, or
  - it is a cost savings to the recipient or subrecipient.

If the NOFO specifies that cost sharing is required, it will also say:

- Whether including cost sharing in the application is an eligibility requirement or an evaluation criterion.
- The nature of the requirement. For example, whether it is a fixed percentage.
- Required documentation, like letters of commitment.

3.2.12.1: Valuation of Volunteer Services

Anyone offering skilled or manual work can volunteer for award-related activities. See 2 CFR 200.306(e)-(f).

To value the services:

- For individuals:
  - Use the usual rates your organization pays or area market rates for similar work.
  - If you do not have a set rate, use the typical local rate for that work.
  - You can also add a fair amount for fringe benefits.
- For employees lent by other companies:
  - Use their regular rate if they are doing their typical job.
  - Use the method for individuals if they are doing something different.

3.2.12.2: Valuation of Donated Buildings and Land

If an agency authorizes you to donate buildings or land for construction or facilities acquisition projects or long-term use, the value of the donated property for cost sharing must be the lesser of the following:

- the value of the remaining life of the property
- the current fair market value See 2 CFR 200.306(d), (h), and (i).

3.2.12.3: Enforcement

If you do not meet the specified level of cost sharing in the NoA, an agency may do any or all the following:

- reduce the award amount
- adjust down award funds during the budget period
- disallow costs post award

3.3: Procurement Management

You may acquire goods or services in support of award activities. The following policies apply when procuring property and services under an award:

- States must follow the same policies and procedures it uses for non-federal funds. Follow the requirements at 2 CFR 200.317.
- All other recipients and subrecipients of a state must follow the procurement standards in 2 CFR 200.318 through 2 CFR 200.327.

To procure goods and services, you must:

- Have written procurement procedures and standards of conduct that reflect applicable state, local, and tribal laws and regulations
- Use a procurement method
- Do a cost or price analysis for all procurements above the simplified acquisition threshold
- Choose responsible contractors
- Follow all requirements in this section of the GPS

The HHS agency has no direct relationship with your contractor.

Recipients other than federal institutions cannot use General Service Administration (GSA) supply sources except states who may acquire hardware and software from the GSA supply sources consistent with the terms and conditions of the GSA schedule.

3.3.1: Fixed Amount Subawards

With prior written approval from the GMO, you may provide subawards based on fixed amounts up to

$500,000 (2 CFR 200.333). Fixed amount subawards must meet the requirements for fixed amount awards in 2 CFR 200.201.

3.3.2: Requirements for States

States may follow the same policies and procedures for procurements using non-federal funds. States will comply with 2 CFR 200.323 and ensure that every purchase order or other contract includes any clauses required by 2 CFR 200.327.

States may acquire hardware and software from GSA Federal Supply Schedules consistent with the terms and conditions of the schedules.

State agencies or agencies that are political subdivisions of states must comply with section 6002 of the Solid Waste Disposal Act as amended by the Resource and Conservation Act. The requirements include:

- Procuring only items noted in guidelines of the Environmental Protection Agency (EPA) at 40 CFR 247 that contain the highest practical percentage of recovered materials.
- Keeping an acceptable level of competition, where the purchase price of the item is more than $10,000 or the value of the amount acquired during the previous fiscal year was more than $10,000.
- Procuring solid waste management services to maximize energy and resource recovery.
- Establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

3.3.3: Requirements for Foreign Entities

The HHS agency may require a review of all proposed procurements exceeding a certain dollar amount or for certain types of services. The HHS agency may also add specific terms and conditions to its awards that address the procurement of such goods and services.

3.3.4: Selecting Responsible Contractors

You must avoid acquiring duplicate or unnecessary services or goods. You should use the most efficient strategy for acquisition. You should use federal excess and surplus property whenever possible to reduce project costs. You must award contracts based on factors like:

- Integrity
- Compliance with public policy
- Past performance
- Financial and technical resources

3.3.5: System for Award Management (SAM) Eligibility

You must check the System for Award Management (SAM.gov) to make sure you do not make a

subaward or contract to a debarred, suspended, or ineligible organization. SAM needs to be checked:

- By the recipient organization:
  - for all first tier subawards, regardless of the amount
  - for all first-tier procurement contracts of $25,000 or more
  - for all lower tiers of contracts under covered non-procurement transactions. See 2 CFR 376.220.
- By the subaward recipient for all lower tier subaward recipients.

3.3.6: Written Agreements

You must execute a written agreement between your organization and the subrecipient, if applicable. The agreement must not affect your overall responsibility for the project or accountability to the federal government.

The agreement must include all the following:

- the activities to be performed
- time schedule
- the provisions required by 2 CFR 200.327 and those found in 2 CFR 200, Appendix II
- policies and requirements that apply to the contractor, including 2 CFR 200.318 and other relevant award terms and conditions
- maximum amount of funds to be awarded
- cost principles to be used in determining allowable costs for cost-type contracts

3.3.7: Subrecipient Periods of Performance - Contracts

If the term of the contract and the award budget period are not the same, you may charge the contract costs to the budget period in which the contract is executed even though some of the services will be performed in a later period. These conditions apply:

- You must notify the agency.
- The expected contract performance period must go beyond the current grant budget period.
- You have a legal commitment to settle all contractual and administrative issues. See 2 CFR 200.318(k).
- Only costs for services provided during the period of performance are allowable.
- For rental costs for facilities and equipment, charge the applicable amount in each budget period. Contact the GMS before entering leases that will result in direct charges to the award.

All contracts more than the simplified acquisition threshold must include termination provisions in line with 2 CFR 74.48 and 45 CFR 92.36(i)(2). While not required for awards under the

simplified acquisition threshold, recipients should insert a clause stating payment after the end of the current budget period is contingent on continued federal funding.

3.3.7.1: Time and Materials Contracts

Time and materials contracts may only be used if:

- there is no other appropriate contract type
- the contract includes a ceiling price that the contractor exceeds at its own risk
- the direct hours are fixed and include wages, general and administrative expenses, and profit

3.3.8: Procurement Methods

You must use one of the following methods of procurement:

- Micro-purchases
- Small purchase procedures
- Sealed bids
- Competitive proposal
- Noncompetitive proposal

Micro-purchase procurements are the acquisition of supplies or services when the total dollar amount is less than the micro-purchase threshold. Generally, the micro-purchase threshold is $10,000, but recipients may self-certify a higher threshold, up to $50,000. If you self-certify a higher micro-purchase thresholds, you have to follow documentation requirements in 2 CFR 200.320(a)(1)(iv).

To the extent possible, you must distribute micro- purchases equitably among qualified suppliers. Micro-purchases do not require soliciting competitive quotations if cost is reasonable.

Small purchase procurements involve simple procurement methods for securing services, supplies, or other property less than the Simplified Acquisition Threshold ($250,000). Non-federal entities must obtain price or rate quotes from sufficient qualified sources.

Sealed bid procurements require public solicitation for bids, leading to a firm fixed price contract (lump sum or unit price) given to the bidder whose bid is the lowest in price and complies with all material terms and conditions.

Competitive proposals usually involve more than one source sending an offer. A fixed price or cost-reimbursement type contract is awarded. It is generally used when sealed bids are not appropriate. You must adhere to the following requirements when using this procurement method:

- Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical.
- Proposals must be solicited from an adequate number of qualified sources.

- You must have a written method for technical evaluations of the proposals and for selecting bids.
- Contracts must be awarded to the responsible firm whose proposal is best for the program.

You can also use the competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services. Applicant qualifications are evaluated, and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation.

Non-competitive proposals solicit a proposal from a single source. You may only use this method when the item is only available from a single source or in the event of a public emergency to expedite the acquisition, or when there is inadequate competition for a product, material, or service. You can get approval for non-competitive proposals from the GMO or his/her delegate.

Upon request, you are required to undergo a pre-procurement review and submit procurement documents to the HHS agency or pass-through entity when:

- Your procurement procedures or operations do not comply with the procurement standards required by those regulations.
- The procurement is expected to exceed the Simplified Acquisition Threshold and is to be awarded without competition, or only one bid or proposal is received in response to a solicitation.
- A procurement that will exceed the Simplified Acquisition Threshold specifies a “brand name” product.
- A proposed award over the Simplified Acquisition Threshold is to be awarded to other than the apparent low bidder under a sealed-bid procurement.
- A proposed contract modification changes the scope of a contract or increases the contract amount by more than the amount considered to be a simplified acquisition.

When prior written approval is required, the non-federal entity must make available sufficient information to enable review. This may include, at discretion, pre- solicitation technical specifications or documents, such as requests for proposals or invitations for bids, or independent cost estimates. Approval may be deferred pending submission of additional information by the non-federal entity or may be conditioned on the receipt of additional information. Any resulting approval does not constitute a legal endorsement of the business arrangement by the federal government nor does such approval establish the HHS agency as a party to the contract or any of its provisions.

3.3.9: Written Standards of Conduct and Conflict of Interest

Recipients must maintain written standards of conduct covering conflicts of interest. Individuals affiliated with a recipient organization cannot participate in the selection, award, or administration of a contract supported by a federal award if they have a real or apparent conflict of interest with:

- Employees

- Officers
- Agents
- Board members
- Immediate family members, spouses, or partners
- Potential employer

These individuals are prohibited from soliciting gratuities, favors, or anything of monetary value from subrecipients. However, recipients may set standards for situations where financial interest is not substantial or the gift is an unsolicited item of insignificant value. These standards of conduct must be applied for violations of the standards by officers, employees, board members, or agents of the organization.

Recipients that are part of a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe are required to have an organizational conflict of interest policy.

3.4: Management of Property and Equipment

Real property can only be acquired when authorized by statute and when specifically stated in the NoA.

Generally, recipients may use their own property management policies and procedures for property purchased or constructed as a direct cost using HHS financial assistance funds, provided they comply with the requirements in 2 CFR 200 Subpart D - Property Standards. The recipient is responsible for the day-to-day management of real property, equipment and supplies acquired or used under an award, whether the title belongs to the recipient or remains with HHS. Recipients must maintain written policies and procedures that address contracting, purchase, and management of all equipment and supplies.

Recipients (and subrecipients, as applicable) must be wise when purchasing property under an award. It is the recipient's responsibility to carefully review each potential property purchase to ensure that it is needed and that the need cannot be met with property already owned by the recipient. If the NoA says the recipient must get permission before buying property, the recipient must make sure they get permission. The recipient must also follow procurement procedures in acquiring property as specified in 2 CFR 200 Subpart D - Property Standards .

As mentioned in the prior procurement section, recipients other than federal institutions cannot use General Service Administration (GSA) supply sources except states who may acquire hardware and software from the GSA supply sources consistent with the terms and conditions of the GSA schedule.

3.4.1: Exempt Property

Exempt property means property bought with award funds where the HHS agency has chosen to give the title to the property to the recipient without further obligation, based upon the explicit terms and conditions of the federal award. The HHS agency may exercise this option when statutory authority

exists.

Under a research award to a nonprofit institution of higher education or to a nonprofit organization whose main purpose is conducting scientific research, the HHS agency must use the special authority provided in the Federal Award and Cooperative Agreement Act (31 U.S.C. 6306) to give the title to equipment and supplies to the recipient (except for those obligations in 2 CFR 200.313).

3.4.2: Nonexempt Property

As implemented in 2 CFR 200.312, the title to federally owned property belongs to the federal government. Each year, the recipient must submit an inventory listing of federally owned property in its custody to the HHS agency (SF-428-A). Upon completion of the federal award or when the property is no longer needed, the non-federal entity must report the property to the HHS awarding agency for utilization using the SF-428-B (final) or SF-428-C (disposition). The recipient will receive disposal instructions from the HHS agency.

3.4.2.1: Revocable License

In some cases, federally owned property may be made available to a recipient under what is called a "revocable license agreement." This agreement means the HHS agency allows the recipient to use the property for the period of the award under the following conditions:

- The title to the property belongs to the federal government.
- The HHS agency reserves the right to require the property be returned to HHS should it be determined to be in the best interests of the federal government to do so.
- The use to which the non-federal entity puts the property does not permanently damage it for federal government use.
- The property is controlled and maintained in accordance with the requirements of the NoA.

3.4.3: Equipment

Equipment is tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit purchase cost which equals or exceeds the lesser of the capitalization level established by the recipient for financial statement purposes, or $10,000. See also the definitions of capital assets, computing devices, general purpose equipment, information technology systems, special purpose equipment, and supplies in 2 CFR 200.1.

Please see the general requirements under 2 CFR 200.313 and 2 CFR 200.439 for how to manage and track equipment. Unless a statute specifically says the recipient should own the title for equipment without further obligation to the HHS agency, the title must be a conditional title. Under this conditional title, the recipient must:

- Use the equipment for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project.

- Put a control system in place to prevent loss, theft, and damage.
- Not restrict the use of the equipment without approval of the HHS agency.
- Subject to disposition instructions provided by the HHS agency, use the equipment in the project it was acquired in as long as needed, whether the project continues to be supported by the federal award.

3.4.4: Important Property Reminders

- You must classify equipment that will be permanently attached or fixed to the land as real property.
- States must use, manage, and dispose of equipment acquired under a federal award by the state in accordance with state laws and procedures.
- Real property constructed or renovated with award support may not be conveyed, transferred, assigned, mortgaged, leased, or in any other manner encumbered by the recipient, except as expressly authorized in writing by the agency.
- If you default on a mortgage, you must immediately notify the GMS by telephone and in writing. If the mortgage holder intends to foreclose, you must notify the GMS in writing at least 30 days before the foreclosure action is initiated.
- The mortgage agreement must specifically allow, in the case of default, that HHS or its designee may assume the role of mortgagor (borrower) and continue to make payments.

3.4.5: Insurance

You must insure property and equipment acquired or improved under an award. The following policies apply:

- You must provide the same insurance coverage for property under an award as you do for other such property.
- You don’t need to insure federally owned property unless required by the award terms and conditions.
- If your organization is a government agency, you may follow your own insurance requirements.
- If title to real property bought with award funds vests with your organization, you must provide the following minimum insurance coverage:
    - Title insurance policy covering the fee interest in the real property for an amount not less than the full appraised value of the property, even if federal support is partial.
    - Physical destruction insurance policy covering the full appraised value of the facility from risk of partial and total physical destruction, even if federal support is partial.
    - You must maintain the insurance policy for the duration of the federal interest in the property.

Within five days of completion or beneficial occupancy, you must submit a written statement signed by the AOR to the GMS. This statement must assure that you have purchased the required insurance policies and will maintain the insurance coverage as required above.

3.4.5.1: Self-Insurance

The agency may waive the requirements above if you are effectively self- insured. If you claim self-insurance, you must provide the agency an assurance that includes:

- A statement that you meet the definition of effectively self-insured. This means that you have sufficient funds to pay for any damage to the facility, including total replacement, or to satisfy any liens placed against the facility.
- The source of the funds, such as the organization's endowment or other special funds set aside for this purpose.

See 2 CFR 200.447.

3.4.6: Notice of Federal Interest for Construction, and Acquisition or Modernization of Real Property

A Notice of Federal Interest (NFI) is required for construction, and acquisition or modernization of real property, except for Minor alterations and renovations (A&R). The non-federal entity (or owner, if other than the non-federal entity) must file an NFI prior to initiating construction or modernization, or when an existing facility or land is acquired with federal funds. The non-federal entity must:

- Record the NFI by the owner in the appropriate public records of the jurisdiction where the property is located. Associated fees are allowable costs.
- Provide a copy of the NFI to the HHS agency.
- Accurately indicate that the property was constructed, acquired, or modernized with HHS agency funds and, that during its useful life of the facility, as defined in the NFI, the HHS agency's use and disposition requirements apply.
- Seek review by the HHS agency to make sure it is acceptable.

The federal interest may not be conveyed, transferred, assigned, mortgaged, leased, or otherwise be encumbered or subordinated by a non-federal entity unless approved by the HHS agency.

3.4.7: Property and Equipment Disposition

According to 2 CFR 200.311(d) and 2 CFR 200.313(d), you must request disposition instructions from the agency when:

- Property under the award is no longer needed for the intended purpose or you will not be using the property for other activities currently or previously supported by an agency.
- Federal statutes, regulations, or agency disposition instructions in the NoA do not say otherwise.

3.4.7.1: Equipment

Unless the NoA or HHS agency instructions say otherwise, you must dispose of the property as follows, in accordance with agency disposition instructions:

- Retain, sell, or dispose of equipment items with a current fair market value of
- $10,000 or less, with no further responsibility to the government. See 2 CFR 200.313(e)(1). The provision also clarifies that Indian Tribes may use their own procedures for use, management, and disposal of equipment. If they do not have procedures, then they must follow the ordinary guidance.
- Retain or sell equipment items with a current fair market value over $10,000. The following apply:
    - You pay the agency the current fair market value according to the percentage of the federal share in its original cost.
    - If sold, the agency may allow you to deduct the lesser of $1,000 or ten percent of the proceeds from the federal share.
    - If your organization is a non-profit institution of higher education or non- profit organization with a principal purpose of scientific research, you are exempt from any requirement to account for proceeds from a sale.
- Transfer property title to the federal government or an eligible third party. You are entitled to compensation for its share of the current fair market value.

3.4.7.2: Supplies

Your organization is assigned the title to supplies when you acquire them. If you have more than $10,000 in supplies after the award is terminated or project is completed, you must retain the supplies for use on other activities, or sell them, and then compensate the federal government for its share. See 2 CFR 200.314.

3.4.8: Modernization of Real Property

Modernization includes both major and minor alterations and renovations (A&R) unless otherwise stated. Modernization is not an allowable cost under the following:

- Federal awards to individuals
- Conference awards
- Training awards

You may not perform major A&R using federal funds or required cost sharing unless:

- There is specific statutory authority, and
- The NoA explicitly allows it.

Minor A&R is an allowable cost under all other types of awards with prior approval under the following criteria, unless restricted in the NOFO or NoA:

- The governing statute or program regulations do not exclude it.
- The work is required to use the space more effectively to meet the program needs.
- The building has a useful life consistent with the project and is architecturally and structurally suitable for conversion.
    - If you own the property, it has a useful life consistent with the project.
    - If you lease the property, the terms and length of your lease are consistent with the project.
- Work and costs to get an initial occupancy permit is not an allowable cost. Costs must be for purposes other than human occupancy (e.g., storage).
- If the building is under construction or the A&R will take place in an incomplete structure, the costs are only allowable if:
    - It is cost-effective to perform the A&R while the building is under construction or being completed, and
        - Minor A&R costs are limited to the difference between the cost of completing the interior space for general use and the cost of adapting it for the federal award supported purpose.
- The space involved will be occupied by the project.
- National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA) requirements are followed, as applicable.

The following are not considered minor A&R:

- Costs associated with routine maintenance, painting, and repair of facilities or equipment that are normal business costs and generally charged as indirect.
- Certain costs of installing equipment, such as the temporary removal and replacement of wall sections and door frames to place equipment in its permanent location, or the costs of connecting utility lines, replacing finishes and furnishings, and installing any accessory devices required for the equipment's proper and safe utilization, unless the non-federal entity's accounting system considers these modernization costs rather than equipment costs.
- Costs of furnishings and movable equipment.

3.4.9: Federal Interest Involving Construction and Modernization of Leased Property

You must make sure any leased property that you propose construction or modernization costs for has a long enough lease for the full value of the federal award supported improvements to benefit the

award activity and support the expected useful life of the facility. You must submit additional documentation to the HHS agency in these cases:

- You must submit lease language to the HHS agency prior to drawing down funds or being reimbursed.
- The property owner must consent to the proposed work, acknowledge federal interest in the property, and file a Notice of Federal Interest (NFI), if required. The lease must include, or be amended to include:
    - Your full use of and access to the leased property during the term of the lease.
    - Your agreement not to sublease, assign, or otherwise transfer the leased property, or use the property for a non-federal award-related purpose(s) without the written approval of the HHS agency (at any time during the term of the lease, whether federal award support has ended).
    - That the lessor will inform the HHS agency of any default by the non-federal entity under the lease.
    - The HHS agency has 60 days from the date of receipt of the lessor's notice of default in which to attempt to eliminate the default, and that the lessor will delay exercising remedies until the end of the 60-day period.
    - The HHS agency intervening to ensure that the default is eliminated by the non-federal entity, or another non-federal entity named by the HHS agency.
    - The lessor accepting payment of money or performance of any other obligation by the HHS agency's designee, for the non-federal entity, as if such payment of money or performance had been made by the non- federal entity.
    - If the non-federal entity defaults, the federal award is terminated, or the non-federal entity vacates the leasehold before the end of the lease term, the HHS agency has the right to designate a replacement for the non-federal entity for the balance of the lease term, subject to approval by the lessor in a separate agreement with HHS, which will not be withheld except for good reason.
    - Documentation of a NFI for the leased property (if required).

3.4.10: Intangible Property

Intangible property is property having no physical existence. These may include:

- trademarks, copyrights, patents, and patent applications
- property, such as loans, notes, and other debt instruments; lease agreements; stock; and other instruments of property ownership

See 2 CFR 200.315.

3.4.11: Intellectual Property

HHS expects you and your PIs and PDs to make your award results and accomplishments available to the research community and the public. If the research results in inventions, the Bayh-Dole Act of 1980 and 37 CFR 401 apply. If you follow these requirements, you have the right to retain the title to any invention conceived or first actually reduced to practice.

The law and regulation promote:

- commercialization of federally funded inventions
- free competition and enterprise without restricting future research and discovery

The law and regulation require recipients to:

- Make efforts to develop and commercialize the technology to advance to industry
- for development.
- Make unpatented research products or resources available through licensing to vendors or other investigators.
- Share copyright-protected research outcomes in journal articles or other publications.

3.4.11.1: Irrevocable and Royalty-Free License

Except as otherwise provided in the NoA, you may assert copyright in any publications, data, or other copyright-protected work developed under an award. Doing so does not require agency approval.

Rights in data also extend to students, fellows, or trainees under awards with an educational purpose. In this case, authors are free to assert copyright in works.

The federal government has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use material resulting from a supported project or program. This applies whether HHS funded all or part of the project. You are responsible for ensuring that any necessary copyrights obtained from your subrecipients also allow the material to be used by the federal government.

HHS may also extend this license to others for federal purposes. For example, to make it available in government-sponsored databases for use by other researchers. The NoA addresses the specific scope of agency rights. See 2 CFR 200.315(d), 2 CFR 200.212.

3.4.11.2: Access to Data and Research Data

Access to data is addressed in 2 CFR 200.315(d).

Specifically for research data, defined at 2 CFR 200.315(e)(3), a federal agency may use award-related research data in developing an agency action that has the force and effect of law. If so, 2 CFR 200.315(e)(1) requires recipients to release the research data to the agency to support a FOIA request. See 2 CFR 200.315(e). See also the definition of records, which includes research data at 45 CFR 5.3.

Excluded are:

- drafts of scientific papers

- plans for future research
- peer reviews
- communications with colleagues
- physical objects (e.g., laboratory samples, audio or video tapes)
- trade secrets
- commercial information
- materials necessary to be held confidential by a researcher until publications in a peer-reviewed journal
- information that is protected under the law such as intellectual property
- personnel, medical files, and similar files, if disclosure would constitute an unwarranted invasion of personal privacy
- information that could be used to identify a particular person in a research study

If the research data are publicly available, HHS directs the requester to the public source. Otherwise, the agency FOIA coordinator handles the request, consulting with the recipient and the PI. HHS may charge a reasonable fee to cover the costs to respond (that may also cover the recipient's cost to respond).

This requirement to release research data does not apply to for-profit organizations or to research data produced by state or local governments. However, if a state or local government recipient contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, those data are subject to disclosure.

3.4.11.3: Patents and Inventions

Inventions conceived or first actually reduced to practice under awards are governed by the Bayh-Dole Act, 35 USC 200-212, and implementing regulations at 37 CFR 401.

The regulations at 37 CFR 401 apply if both the following are true:

- Inventions result from federally funded research, and
- Your organization or your subrecipient or contractor is a university, non-profit entity, governmental entity, or small or large business.

See iEdison for more information.

3.4.11.4: Royalties and Licensing Fees from Copyrights, Inventions, and Patents

You may commercially apply intellectual property and require payments for its use.

Unless the NoA says otherwise, you do not have to report program income earned from license fees and royalties. This includes copyright-protected material, patents, patent applications, trademarks, and inventions made under an award.

You may pay royalties to others as an allowable direct cost.

See 2 CFR 200.448.

3.4.11.5: Invention Reporting

For information, see Invention Reports at iEdison. See also 37 CFR 401. Seek

the advice of the GMS about:

- Whether an invention made under a career development award is a subject invention
- The extramural technology transfer policy
- Reporting of inventions

3.4.12: Publications and Acknowledgement of Support

3.4.12.1: Publications

HHS encourages you to publish the results and accomplishments of awards. You can publish your results without prior approval. These policies apply, unless otherwise specifically addressed in your NoA:

- You may assert copyright in scientific and technical articles based on data produced under the award.
- You may transfer copyright to the publisher or others for journal publication or other professional activities.
- All copyrights, including transfers, are subject to a royalty-free, non-exclusive and irrevocable license to the federal government, and any agreement must include that the assignment is subject to the government license.
- You must account for royalties and income earned from a copyrighted work as specified by the agency.
- You must submit one copy of each publication resulting from work under an award with the annual or final progress report and/or where you may be directed in your award.
- If you plan to issue a press release about award-supported activities, you must notify the agency in advance to allow for coordination.

3.4.12.2: Stevens Amendment

HHS will include the following information in your NoA and NOFO. When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents – such as toolkits, resource guides, websites, and presentations – describing the projects or programs funded in whole or in part with HHS funds, the recipient must clearly state:

- the percentage and dollar amount of the total costs of the program or project funded with

federal money; and

- the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

The NoA may provide further instructions and language to use.

3.4.12.3: Acknowledgement of Support

When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents – such as toolkits, resource guides, websites, and presentations (hereafter "statements") – describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

- the percentage and dollar amount of the total costs of the program or project funded with federal money; and
- the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

- If the HHS Grant or Cooperative Agreement is NOT funded with other non- governmental sources: This [project/publication/program/website, etc.] [is/was] supported by the [full name of the agency] of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling $XX with 100 percent funded by [agency]/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by [Name of the Agency]/HHS], or the U.S. Government. For more information, please visit [Award Agency Stevens Amendment website, if available].

The HHS Grant or Cooperative Agreement IS partially funded with other nongovernmental sources:

- This [project/publication/program/website, etc.] [is/was] supported by the [full name of the HHS Agency] of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling $XX with XX percentage funded by [full name of the HHS Agency]/HHS and $XX amount and XX percentage funded by non-government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by [Agency]/HHS, or the U.S. Government. For more information, please visit [Award Agency's Stevens Amendment website, if available].

3.5: Oversight and Monitoring

3.5.1: Subrecipient Flow-Down Requirements

The GPS applies to subrecipients and contractors. This includes consortium agreements where the recipient collaborates with other organizations.

The terms and conditions of awards flow down to subawards and subrecipients unless a particular GPS policy or award term and condition specifically says otherwise.

You must have a formal written agreement with each subaward recipient. You must include applicable GPS requirements in your subaward agreements. Agreements must meet programmatic, administrative, financial, and reporting requirements. At a minimum, the subaward agreement must include:

- the PI or PD and subrecipient staff responsible for the program activity, including roles and responsibilities.
- program administration and monitoring procedures.
- policies and process for subrecipient funding, such as allowable costs, expenditure approval, funding caps, payment method and schedule, required documentation.
- travel, salaries, and fringe benefit policies and procedures.
- applicable public policy requirements and applicable assurances and certifications and provisions indicating the intent of the subrecipient to comply, including submission of applicable assurances and certifications.
- conflict of interest requirement.
- provisions regarding property, program income, publications, reporting, record retention, and audit.

3.5.2: Reporting

You must submit financial, performance, and other reports. Not meeting reporting requirements could result in enforcement actions. These actions include those in the Remedies for Noncompliance section of the GPS including 2 CFR 200.339 through 200.343, and reporting to Responsibility/Qualification in SAM.gov (formerly FAPIIS).

3.5.2.1: Federal Financial Reports

You submit Federal Financial Reports (FFRs) through the Payment Management System (PMS).

How often you need to submit an FFR is in the NoA. This can range from quarterly to annually. Higher risk recipients may report more often.

Updated information on FFRs is at the Program Support Center for PMS.

You may need to revise your FFR in some cases. You must submit a revised FFR to HHS immediately for overcharges. You also must submit revised FFRs as soon as possible for expenditures that you did not report before. You must explain why the revision is necessary and how you will prevent this in the future. For annual FFRs, it is HHS policy that revisions are due no later than 9 months from the end date. For final FFRs, it is HHS policy that revisions are due no later than 6 months after the end date. The agency will tell you how your award will be updated if revised FFRs are accepted.

PLEASE NOTE: The GMS may not accept a revised interim FFR submitted by the recipient that claims

additional expenditures after one year from the end of the reporting period (regardless of when the original report was submitted).

3.5.2.2: Progress Reports

You submit progress reports through GrantSolutions or NIH eRA.

The reporting schedule and requirements are in the NoA. Schedules can range from quarterly to annually. Higher risk recipients may report more often as part of a special condition of their award.

See 2 CFR 200.329(c)(1).

3.5.2.3: Other Reporting

Intellectual Property Reporting

If you have a research award, you must report on patents and inventions through iEdison (iEdison | NIST).

Each competing continuation application and progress report (when used in lieu of a non-competing continuation application) must indicate whether any subject inventions were made during the preceding budget period.

3.5.2.3.1: Invention Reporting

You must report on inventions. The iEdison website includes information on invention reports. See also 37 CFR 401.

You must also submit an annual invention use report for:

- all inventions to which title has been elected; and
- inventions that have been licensed but not patented (research tools).

The utilization report provides a way to evaluate the extent of commercialization of subject inventions, consistent with the objectives of the Bayh-Dole Act.

Contact the GMS for questions, including:

- if inventions under a career development award is a subject invention
- the extramural technology transfer policy
- reporting and use of inventions

3.5.2.3.2: Real Property Reporting

Construction awards must report the status of real property each year for as long as the federal government retains an interest, up to 15 years. If the federal interest lasts beyond 15 years, the agency or pass-through entity may require the recipient to report at various multi-year frequencies.

3.5.2.4: Non-Compliance

3.5.2.4.1: Failure to Submit Reports

When you fail to submit required reports within the time allowed, the agency may take enforcement

actions including those in the Remedies for Noncompliance section of the GPS.

3.5.2.4.2: Overdue Reports

An agency may give a waiver, if permitted by law, or extension if a report is overdue and the reason is beyond your control.

Failure to meet a new date may result in the agency taking enforcement actions.

Submission of a required report does not necessarily fulfill your obligation. Reports must meet content requirements. You must provide the revised report by the indicated due date to avoid enforcement actions.

3.5.2.5: Fraud, Waste, and Abuse

Fraud, waste, or abuse related to HHS awards or use of award funds should be reported to HHS. Fraud, waste, and abuse may be reported:

- By telephone at 1-800- HHS-TIPS (1-800-447-8477) or TTY at 1-800-377-4950
- Fax at 1-800-223-8164. Forms for use are available at the OIG website.
- E-mail at HHSTips@oig.hhs.gov
- USPS mail at U.S. Department of Health and Human Services, Office of Inspector General, Attn: OIG Hotline Operations, P.O. Box 23489, Washington, DC 20026.

If you report, you are not required to give your name, but if you do, your identity is kept confidential.

Fraud, waste, and abuse includes embezzlement, misuse or misappropriation of award funds or property, and false statements or claims. Examples include:

- theft of award funds for personal use
- using funds for non-award-related purposes
- theft of federally owned property or property acquired or leased under an award
- charging inflated building rental fees for a building owned by the recipient
- submitting false financial report
- submitting false financial data in bids submitted to the recipient

The federal government may pursue administrative, civil, or criminal action under a variety of statutes that relate to fraud and false statements or claims. Even if no award is made, you may be subject to penalties if information submitted as part of an application is found to be false, fictitious, or fraudulent. See the statutes referenced in Appendix D and Appendix E for statutes related to fraud, waste, and abuse.

3.5.2.6: Paperwork Reduction Act

The Paperwork Reduction Act (PRA), 44 USC 35, as implemented by 5 CFR 1320, is designed to:

- Reduce, minimize, and control burdens
- Maximize the practical use and public benefit of the information created, collected, disclosed, maintained, used, shared, and disseminated by or for the federal government

OMB clearance is required for agency collection of information. This includes all application or reporting forms, whether paper or electronic. Below is information about how the PRA is implemented.

3.5.2.7: Federally Sponsored Surveys

Recipients may use award funds to collect information through surveys or questionnaires:

- When the collection of information is not a primary objective of the award but is incidental to, or is an integral part of, an award-supported activity.
- When the collection of information is a primary objective of the award, but such information is not intended primarily for use by the federal government, or a party designated by the federal government.

When information is collected, according to either of the two conditions above, you may not represent what the information is being collected for, or in association with, unless:

- You receive agency approval; and
- You follow OMB report clearance procedures, when required. When OMB approval is required, the agency, rather than the recipient, will obtain the necessary clearance.

OMB clearance is required whenever the HHS agency sponsors the use of a reporting form or plans to collect identical kinds of information or data from 10 or more people.

Information collection is considered HHS agency-sponsored when any of the following circumstances exist:

- The agency allows you to state that the information is being collected for, or in association with, the agency.
- You use the report form or collect information that an agency has requested for the planning, operation, or evaluation of its program.
- The award terms and conditions provide agency approval of the study design, questionnaire content, or data collection procedure.
- The award terms and conditions provide for either submission of the data for individual respondents or the preparation and submission of special requested tabulations to the agency.

HHS and OMB approval may also be required if the use of a report form or plan presents a relatively high risk of unwarranted privacy invasion.

Collection of the following types of information is not subject to the clearance requirements at 5 CFR 1320:

- health professions data as described in Section 708 of the Public Health Service (PHS) Act
- tests or examinations of individuals for determining knowledge, abilities, or aptitudes, and the collection of information for identification or classification in connection with such tests
- information from patients to be used exclusively for research of or direct treatment of a clinical disorder; for the interpretation of biological analyses of body fluids, tissues, or other specimens; or for identification or classification of such specimens

See 5 CFR 1320 for additional clearance requirement exemptions.

3.6: Remedies for Noncompliance

If you do not comply with award terms and conditions, the agency or pass-through entity may take enforcement actions, in accordance with applicable statutes, regulations and policy.

You usually have an opportunity to correct the deficiencies unless there is a serious threat to public health or welfare concerns. The agency may take necessary proactive steps to protect the federal government's interests. Agencies may take any action allowed by law, including those below. See 2 CFR 200.339 through 200.343.

3.6.1: Implementation of Specific Award Conditions

An agency or pass-through entity may place corrective specific conditions on an award to address issues with your award compliance.

When the agency or pass-through entity imposes specific award conditions, they will notify you of:

- the nature of the conditions
- the reason why
- the type of corrective action needed
- the time allowed for completing corrective actions
- the method for requesting reconsideration of the conditions

Examples of specific award conditions are removing a PI/PD, converting your award from advance payment to reimbursement, and adding reporting requirements.

See 2 CFR 200.208.

3.6.2: Disallowed Costs

HHS may disallow all or part of the cost of an activity or action determined not in compliance. This can happen at any time during the award or after closeout.

You must repay disallowed costs with non-federal funds or an offset from future year funds. You may appeal disallowed costs.

3.6.3: Other Remedies

Depending on the nature of the deficiency, an agency also may:

- temporarily withhold payment
- withhold further awards for the project or program

3.6.4: Suspending Award Activities or Termination

Consistent with 2 CFR 200.339 and 2 CFR 200.340, an agency or pass-through entity may suspend or terminate all or part of your award activities if you fail to materially comply with the award terms and conditions. See 2 CFR 200 Subpart D.

The HHS agency generally will suspend, rather than immediately terminate, a federal award. This allows you an opportunity to take appropriate corrective action before making the decision to terminate. The HHS agency may decide to terminate the federal award if you do not take appropriate corrective action during the period of suspension.

Under a suspension, the HHS agency will provide you:

- What project activities, if any, will take place during the period of suspension.
- What costs the HHS agency will reimburse if the enforcement action is ultimately lifted, and the award resumed.
- What corrective actions must occur during the enforcement action.
- The HHS agency's intent to terminate the award if the non-federal entity does not meet the conditions of the enforcement action.

The HHS agency may terminate without first suspending the federal award if the problem is serious enough or if public health or welfare concerns require immediate action. Termination for failure to comply with terms of award may be appealed under the HHS agency and HHS's federal award appeals procedures (45 CFR Appendix A to part 16).

A federal award also may be terminated, in whole or partially, by the recipient or by the HHS agency with the consent of the recipient. If you decide to terminate a portion of a federal award, the HHS agency may determine that the remaining portion will not accomplish the original purpose. In this case, you will be advised of the possibility of termination of the entire federal award and will be allowed to withdraw your termination request. If you do not withdraw your request for partial termination, the HHS agency may terminate the entire federal award. See 2 CFR 200.340.

When an HHS agency terminates a federal award prior to the end of the period of performance due to the non-federal entity's material failure to comply with the federal award terms and conditions, the HHS agency must report the termination to the OMB-designated integrity and performance system accessible through the Responsibility/Qualification System in Sam.gov. This information will be reported after the non-federal entity has exhausted its opportunities to object or challenge the decision or has not within 30 calendar days after being notified of the termination informed the HHS

agency that it intends to appeal the decision to terminate. For full information on reporting termination in FAPIIS, see 2 CFR 200.340(c).

Federal awards may also be terminated if an award no longer effectuates the program goals or agency priorities, in line with 2 CFR 200.340(a)(4).

HHS applies appeal rights in line with 2 CFR 200.342. Appeals rights exist for termination actions that are a remedy for non-compliance.

3.6.4.1: Suspension or Debarment

An agency may initiate suspension or debarment proceedings under 2 CFR 180 and HHS agency regulations at 2 CFR 376. A pass-through entity may recommend that the agency do so for a subaward.

3.7: Closeout

To close an award, you do several steps to include submitting a final report. Ask your GMS and review the closeout provisions HHS now follows at 2 CFR 200.344. The agency will resolve any amounts due to them or to you.

Upon the completion date of an award, you have 120 days to liquidate all financial obligations and submit all required reports, including a final FFR, final progress report, tangible and real property reports (if needed), and Final Invention Statement and Certification (if needed). The GMO or their delegate may give an extension upon a written request. Not submitting timely and accurate reports can affect future funding. HHS may close out your award on its own if you fail to provide your reports on time.

HHS may still disallow costs or recover funds based on an audit or review after your award is closed out. After closeout, you still must return any funds due to HHS because of refunds, corrections, indirect cost rate adjustments, or other transactions.

You still need to account for property acquired on your award and follow disposition and record retention requirements after close out.

See 2 CFR Subpart D Property Standards for other disposition requirements. See 2 CFR 200.334 through 200.338 for record retention requirements.

3.7.1: Final Federal Financial Report (FFR)

A final FFR is required for all the following:

- terminated awards
- awards transferred to new recipients
- awards at the end of a period of performance

Final FFRs must:

- account for all funds awarded during the period of performance

- have no unliquidated obligations
- say the exact unobligated balance

In some cases, you may need to submit a revised FFR. When a revised final FFR results in additional recipient claims, the agency will consider approval if:

- You show why the revision is needed, explains, and implements internal controls to avoid similar future situations
- The charge is allowable under the award
- There is an unobligated balance for the budget period that can cover the claim
- The funds are still available
- The agency receives the revised FFR within 6 months of its original due date

3.7.2: Final Progress Report

A final progress report is required for all the following:

- terminated awards
- awards at the end of the performance period Submit final progress reports as directed in your NoA.

Use the agency instructions. At a minimum, they include:

- a summary of progress towards achieving the stated aims
- significant results, positive or negative
- publications

If you submit a competing continuation application, the final progress report requirement may be met by the information included in that application.

3.7.3: Final Invention Statement

For research awards, you must submit a Final Invention Statement and Certification (HHS 568). HHS requires this statement even if the award does not result in any inventions. The HHS 568 is at the iEdison Web site at iEdison | NIST.

The HHS 568 lists all inventions conceived or initially reduced to practice under the award. The form must be signed by the PI or PD and AOR. The form covers the period from the original award start date through the award end date. If there were no inventions, the form should indicate “None.”

3.8: Post-Closeout

After award closeout, you still have obligations for record retention, property accountability, and financial accountability. See 2 CFR Subpart D Property Standards, 2 CFR 200 Subpart D Record Retention and Access, and 2 CFR 200.330.

3.8.1: Record Retention and Access

You must keep financial, supporting, and statistical records, and all other records considered pertinent to an award.

The retention periods are three years after sending:

- the final FFR for closed awards
- quarterly or annual reports for awards renewed quarterly or annually

These periods are extended until the conclusion of any litigation matters, claims, or audits and audit findings are fully resolved.

You must allow records access to the:

- HHS Agency
- Inspector General
- Comptroller General
- Pass-through Agency

See:

- Retention requirements for records (2 CFR 200.334)
- Access to records (2 CFR 200.337)
- Restrictions on public access to records (2 CFR 200.338)

3.8.2: Debt Collection

During or after closeout, HHS may find that you received more than the correct amount or that you misspent funds. This may result from disallowed costs, recovery of funds, unobligated balances, or other situations. In these cases, HHS will consider this amount a debt and send you a request for repayment. You have 90 calendar days to repay the amount.

If you do not pay back the funds in 90 calendar days, the HHS agency may reduce your debt by:

- making an administrative offset against payments on other HHS awards.
- withholding advance payments.
- taking other action allowed by law.

HHS must, by law, collect debts due to the federal government. Unless prohibited by law, HHS is also required to charge interest on delinquent debts.

See Collection of Amounts Due (2 CFR 200.346) for more.

You may appeal a request for repayment. If appealed, HHS suspends the collection pending a final appeal decision. If denied, in whole or in part, HHS will charge interest on the debt starting with the

date of the original request for repayment.

Refer to the HHS Claims Collection (45 CFR 30) and the Program Support Center's Debt Management Collection System at https://pms.psc.gov/ for more on collection of debts.

3.9: Appeals

Agencies may have their own appeals procedures. See also the procedures of the Departmental Appeals Board (45 CFR 16).

Agencies and recipients may use alternative dispute resolution (ADR). ADR can reduce the cost, time, and level of dispute involved in appeals.

For more information on appeals, see the Departmental Appeals Board website.

Chapter 4: Single Audit

An audit is a review to verify if accounting and control systems reasonably assure:

- proper financial operations
- timely, fair, and correct financial reports
- compliance with applicable laws, regulations, and terms and conditions of award
- resources are managed and used economically and efficiently
- desired results and objectives are being achieved effective
- recipients and subrecipients follow the audit requirements of 2 CFR 200 Subpart F.

4.1: Audit Requirements

As of October 1, 2024, you and your subrecipients must have an audit if either spends $1,000,000 or more in federal awards during its fiscal year (see 2 CFR 200.501). Even if an audit is not required, keep records available for review by federal officials.

You must use an independent auditor who must follow the Government Auditing Standards and the audit requirements in 2 CFR 200 Subpart F. Audit costs are allowable and often covered by the indirect cost rate.

Pass-through entities are responsible for establishing audit requirements, to ensure compliance by subrecipients.

HHS may request more audits, if necessary.

4.2: Types of Audits

Program Specific Audit: test a single program. Refer to 2 CFR 200.507.

- Single Audit: The auditor uses a risk-based approach to identify major programs which the auditor tests and provides an opinion on compliance. See 2 CFR 200 Subpart F.
- Financial Related Audit: Specific to for-profit organizations. Must be conducted in accordance with the Government Auditing Standards.

For other types of audits, see 2 CFR 200.501.

4.3: Audit Options

If an audit is required, the following options are available:

4.3.1: For Governments, Indian Tribes, Institutions of Higher Education, and Non-Profits

- Only one program: If your organization expends funds in only one program, you may use a program- specific audit as per 2 CFR 200.501(c) and 200.501(d).

- Multiple programs: If your organization expends $1,000,000 or more in funds from more than one program, a single audit is required, as per 2 CFR 200.501(b).

See full audit requirements in 2 CFR 200.501.

4.3.2: For-Profit Organizations

- Only one program: If federal awards are in only one program, then they may opt for a program-specific audit or financial related audit of the award.
- Multiple programs: If federal awards are in more than one program, then they must have a single audit or financial related audit of all awards.

4.3.3: Contractors

Audit requirements for federal awards do not apply to contractors with annual HHS awards less than $1,000,000. See 2 CFR 200.501.

4.3.4: Foreign Entities

Audit requirements and processes for foreign entities will be addressed in your NOFO and NoA.

4.4: Recipient Responsibilities

- Procure or otherwise arrange for the required audit and make sure it is performed properly. See 2 CFR 200.509.
- Provide the auditor with access to needed personnel, accounts, books, records, supporting documentation, and other information.
- Prepare financial statements, including the schedule of federal award expenditures. See 2 CFR 200.510.
- Make sure the audit is submitted within 30 days after receiving the auditor's report or 9 months after your fiscal year end, whichever is earlier. See 2 CFR 200.512.
- Promptly follow up and take corrective action on audit findings. See 2 CFR 200.508 for a listing of auditee responsibilities.

4.5: Audit Findings and Resolution

Non-Federal entities and their subrecipients must follow up and take corrective action on all audit findings. This includes preparing:

- a summary schedule of prior audit findings. See 2 CFR 200.511(b)
- a corrective action plan. See 2 CFR 200.511(c)

4.5.1: Requirements

The summary schedule and the corrective action plan must include:

- reference numbers the auditor assigns to audit findings under 2 CFR 200.516(c);
- the fiscal year in which the finding initially happened; and
- findings relating to the financial statements required to be reported under Government Auditing Standards

See 2 CFR 200.511.

4.6: Report Submission

Reports for non-profit recipients are submitted to the Federal Audit Clearinghouse (FAC). For-profit and foreign recipients submit reports to the HHS Audit Resolution Division at AuditResolution@HHS.gov.

The HHS assignment system receives single audit reports from the FAC and assigns audit findings to the agencies for resolution.

Both you and your auditors must complete and submit your portions of the reporting package to FAC. They are due within 30 calendar days after receipt of the auditor's report or nine months after the end of the audit period, whichever is earlier. See 2 CFR 200.512.

4.6.1: Documentation

Ensure that the basis for valuing services, materials, equipment, buildings, and land can be verified. Make sure your records, including those from your subrecipients, can support the value. If using volunteer services, document their time and attendance as you would for regular employees.

4.6.2: Delinquent Audits

HHS will follow up to obtain audit reports that are delinquent.

If required audits are not completed or do not follow 2 CFR 200, audit costs may be disallowed or other sanctions may be taken.

4.7: HHS Office of Inspector General

The HHS Office of Inspector General (OIG) audits programs and their recipients to ensure funds are used correctly and guard against fraud and waste. The OIG:

- can freely access records and information
- can request information and documents through subpoenas
- acts as the National Single Audit Coordinator, giving audit guidance to HHS agencies and recipients

You need to have strong internal controls and guidelines must be in place to ensure proper use of federal funds.

4.8: Additional Information

4.8.1: Cooperative Audit Resolution and Management Decisions

Cooperative audit resolution is a structured approach that brings the appropriate stakeholders together to address audit findings and proposed corrective actions. See 2 CFR 200.513(c)(3)(iii). Non-federal entities must follow this approach to ensuring timely and appropriate resolution of audit findings and recommendations. Recipients usually are allowed 30 days from the date of request to respond to the responsible audit resolution official.

The HHS agency will coordinate with the non-federal entity during the cooperative audit resolution process. The HHS agency will:

- Follow-up on audit findings to ensure the non-federal entity takes appropriate and timely corrective action.
- Issue a management decision, on all assigned reporting packages with audit findings within six months of the date the FAC accepts the reporting package.
- Issue sanctions when the non-federal entity fails to correct conditions identified by audits that are likely to cause improper payments, fraud, waste or abuse.

The HHS agency or pass-through entity responsible for issuing a management decision must do so within 6 months of acceptance of the audit report by the FAC. The management decision provides timely information to the non-federal entity regarding where the HHS agency is in evaluating findings and related corrective actions. The HHS agency management decision will include:

- whether or not the audit finding is sustained.
- the reasons for the decision.
- the expected action the non-federal entity must take to repay disallowed costs, make financial adjustments, or take other action.
- a timetable for follow-up if then non-federal entity has not completed corrective action; and
- a description of the appeal processes available to the non-federal entity.

Appendix A: Agencies Overview

Below is an overview of HHS agencies. Visit HHS Organization Chart | HHS.gov for more. GPS refers to "Public Health Service (PHS) agencies." We have marked them below.

Agency	Overview	Support
Administration for Children and Families (ACF) www.acf.hhs.gov	Promotes economic and social well-being of children, families, and communities.	• childcare for low-income families • foster care and adoption • child abuse and domestic violence prevention
Administration for Community Living (ACL) www.acl.gov	Advocates for older adults, people with disabilities, families, and caregivers to help all people live independently and participate in their communities.	• health, wellness, and nutrition • self-advocacy • connecting people to services • retirement planning • American Indian, Alaska Native, and Native Hawaiian nutrition and older adult support
Agency for Healthcare Research and Quality (AHRQ) www.ahrq.gov PHS agency	Improves quality, safety, accessibility, equitability, and affordability of US health care.	• digital healthcare research • PSNet (Patient Safety Network) • quality indicators
Administration for Strategic Preparedness and Response (ASPR) www.aspr.hhs.gov	Assists the country in preparing for, responding to, and recovering from public health emergencies and disasters.	• development and stockpiling of medical countermeasures • pandemic preparedness
Assistant Secretary for Technology Policy/Office of the National Coordinator for Health Information Technology (ASTP) www.healthit.gov	Administers health IT efforts and is a resource to the entire health system to support the adoption of health information technology and the promotion of nationwide, standards-based health information exchange to improve health care.	• advance development and use of health IT capabilities • establish expectations for data sharing
Centers for Disease Control and Prevention (CDC) www.cdc.gov PHS Agency	Protects against health and public health, safety, and security threats. Their focus is both foreign and domestic.	• immunization services • monitoring and preventing disease outbreaks • disease prevention strategies • workplace safety

Centers for Medicare & Medicaid Services (CMS) www.cms.gov	Advances health standards and quality, expanding coverage, and improving health outcomes.	• clinical standards and quality • meaningful measures
Food and Drug Administration (FDA) www.fda.gov FDA Grants and Cooperative Agreements Page PHS Agency	Protects public health by ensuring the safety of human and veterinary drugs, biological products, medical devices, cosmetics, and food.	• food safety • animal feed safety • laboratory systems • scientific conferences
Health Resources and Services Administration (HRSA) www.hrsa.gov PHS Agency	Provides access to essential health care services for people who are low-income, uninsured, or live in areas with limited access.	• rural health • maternal and child health • opioid response • health workforce training • telehealth
Indian Health Service (IHS) www.ihs.gov PHS Agency	Ensures comprehensive, culturally appropriate personal and public health services are available to American Indians and Alaska Native people.	• community health • behavioral health • environmental stability • school health
National Institutes of Health (NIH) grants.nih.gov PHS Agency	Seeks knowledge about the nature and behavior of living systems. Applies it to enhance health, lengthen life, and reduce illness and disability.	• biomedical and behavioral research • research training • research infrastructure and communications
Office of the Assistant Secretary (OASH) www.hhs.gov/ash PHS Agency	Seeks to serve the public through responsive public health actions to promote healthy and safe environments and prevent harmful exposures.	• minority health • family planning • adolescent health • women's health • infectious disease and HIV/AIDS policy • research integrity
Office of the Inspector General (OIG) www.oig.hhs.gov	At the forefront of the Nation's efforts to fight waste, fraud and abuse and to improving the efficiency of Medicare, Medicaid and more than 100 other Department of Health & Human Services (HHS) programs.	• Medicare/Medicaid oversight • improved efficiency • fraud, waste, abuse detection

Substance Abuse and Mental Health Services Administration (SAMHSA) www.samhsa.gov PHS Agency	Improves the quality and availability of substance abuse prevention, addiction treatment, and mental health services.	• substance abuse and mental health services.

For agency staff and recipient roles and responsibilities, see the Introduction and General Information section.

Appendix B: Acronyms and Glossary

B.1: Acronyms

Please see acronyms listed in 2 CFR 200.0. Although not all the terms are in the GPS, they may be useful to applicants and recipients.

B.2: Glossary

This glossary defines terms commonly used in the HHS GPS. These definitions are for purposes of clarity and do not replace controlling definitions in applicable statutes and regulations.

Acquisition cost	The total cost of an asset, including the cost to get the asset ready for its intended use. For example, acquisition cost for equipment means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. See 2 CFR 200.1 Acquisition cost.
Accrual basis	For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services, the amount of indirect expense incurred, the value of third-party in-kind contributions applied, and the net increase or decrease in the amounts owed by the recipient or subrecipient for goods and other property received, services performed by employees, contractors, subrecipients, and other payees, and programs for which no current services or performance are required, such as annuities, insurance claims, or other benefit payments. See 2 CFR 200.1 Expenditures.
Administrative requirements	The general practices that are common to the administration of grants, such as financial accountability, reporting, equipment management, and retention of records.
Advance payment	A payment that a Federal agency or pass-through entity makes by any appropriate payment mechanism and payment method before the recipient or subrecipient disburses the funds for program purposes.
Allocable cost	An allocable cost relates to a specific project or activity based on the relative benefits it provides. It's allocable to a federal award if: • It's specifically for the award • It benefits both the award and other tasks and can be distributed based on those benefits • It's needed for the organization's overall functioning See 2 CFR 200.405 Allocable costs.
Allowable cost	Allowable costs are: • Reasonable for the award's purpose • Allocable • Within the federal cost principles or NoA guidelines • In line with the recipient's consistent policies, covering both federal and non-federal activities • Consistently treated as either a direct or indirect cost • Based on standard accounting principles • Not used in another federal award, unless statute says otherwise See 2 CFR 200.403 Factors affecting allowability of costs

Alteration and renovation (A&R)	Alteration and renovation involve changing the inside or features of a facility or installed equipment to enhance its current use or adapt it for a new purpose. It can include improvements, remodeling, or modernization but is different from construction or major permanent upgrades.
Alternative dispute resolution (ADR)	A method to solve disagreements without going to court. It aims to resolve issues faster, cheaper, and in a less confrontational way, preventing them from becoming bigger problems that need formal legal action.
Applicable credit	Receipts that offset or reduce direct or indirect costs. Typical examples include purchase discounts, rebates, or allowances; recoveries or indemnities on losses; insurance refunds; and adjustments of overpayments or erroneous charges. See 2 CFR 200.406 Applicable credits.
Application	A request for financial support of a project or activity submitted on specified forms and in accordance with agency instructions. See Types of Applications.
Approved budget	The spending plan for a project funded by an award. This budget has both federal funds and, if applicable, non-federal funds like cost-sharing. If both types of funds are in the budget, the recipient must spend them in the same ratio as they appear in the total budget. See 2 CFR 200.1 Budget and 2 CFR 200.308 Revision of budget and program plans.
Assurance	A written statement by an applicant, normally included with the application, that it will follow a particular requirement if there is an award.
Audit resolution	The process of resolving audit findings, including those related to management and systems deficiencies and monetary findings like questioned costs.
Award	The document that provides the agency funds to a recipient to carry out an approved project, based on an approved application. In the GPS, award means both grants and cooperative agreements. See 2 CFR 200.1 Federal award.
Agency	The agency responsible for making, monitoring, and overseeing awards. For changes in award terms or for approval requests, the reference may be to the GMS. This is sometimes referred to as “Federal agency” or “Federal agency.” See 2 CFR 200.1 Federal agency.
Award terms and conditions	The legal requirements set by the agency for the award. These can come from laws, regulations, policies, or the NoA. The NoA might also add specific conditions to ensure the award's goals are met, enable post-award management, save funds, or protect federal interests.
Budget period	The time interval from the start date of a funded portion of an award to the end date of that funded portion during which recipients and subrecipients are authorized to incur financial obligations of the funds awarded. Budget periods are typically 12 months. Funding of individual budget periods sometimes is referred to as “incremental funding.” See 2 CFR 200.1 Budget period.

Carryover	Unobligated (unspent) federal funds from a particular budget period that can be transferred and used in the next, or later, budget period to cover allowable expenses in that subsequent period. Funds that have been committed but not yet spent (obligated but unliquidated) are not considered carryover.

Cash basis	An accounting method in which revenue and expenses are recorded on the books of account when received and paid, respectively, without regard to the period in which they are earned or incurred. It is different than accrual basis.
Change of recipient	Transfer of the legal and administrative responsibility for an award from one legal entity to another before the end of the period of performance.
Closeout	The process by which an agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the agency. See 2 CFR 200.344 Closeout.
Cognizant agency for audit	The Federal agency designated to carry out the responsibilities described in 2 CFR 200.513(a). This agency is not necessarily the same as the cognizant agency for indirect costs. A list of contacts can be found on the Federal Audit Clearinghouse (FAC) website.
Cognizant agency for indirect costs	The Federal agency responsible for reviewing, negotiating and approving cost allocation plans or indirect cost proposals on behalf of all Federal agencies. This agency is not necessarily the same as the cognizant agency for audit. See 2 CFR 200.1 Cognizant agency for indirect costs.
Competition	A process in which applications undergo a merit review and are evaluated against established evaluation criteria in the NOFO. See 2 CFR 200.319 Competition.
Completion date	The date on which all work under an award is completed or the date in the NoA (as amended) on which federal sponsorship ends (i.e., the end of a period of performance).
Consortium agreement	A formal agreement whereby a project is carried out by a recipient and one or more other organizations that are separate legal entities. Under the agreement, the recipient must perform a substantive role in the conduct of the planned project and not merely serve as a conduit of funds to another party or parties. Consortium agreements are considered subawards.
Continuation funding	The second or subsequent budget period within an identified period of performance. See 2 CFR 200.1 Continuation funding.
Contract under an award	A written agreement between a recipient/subrecipient and a third party to acquire commercial goods or services. This may also be called a subcontract. See 2 CFR 200.1 Contract.

Construction	A project to support the initial building or major alteration and renovation like large-scale modernization or permanent improvement of a facility.
Consultant	An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. Also includes a firm that provides paid professional advice or services.
Cooperative agreement	A financial assistance support mechanism used when there will be substantial federal programmatic involvement. Substantial involvement means that the agency's program staff will collaborate or participate in project or program activities as specified in the NoA. See 2 CFR 200.1 Cooperative Agreement.

Copyright	Protection provided by statute (Title 17, U.S. Code) to the authors of "original works of authorship," including literary, dramatic, musical, artistic, and certain other intellectual works, including computer programs. This protection applies to both published and unpublished works.
Cost analysis	The systematic review of a budget proposal to detail and assess cost components; ensure costs are necessary, reasonable, and allocable; and confirm alignment with federal guidelines, ensuring no unallowable expenses.
Cost sharing	The portion of project costs not paid by Federal funds or contributions (unless authorized by Federal statute). This term includes matching, which refers to required levels of cost share that must be provided. See 2 CFR 200.1 Cost sharing.
Departmental Appeals Board (DAB)	The DAB is a board within HHS that impartially addresses disputes from HHS assistance programs. It offers a fair hearing process for challenges to certain grants management decisions, with its role and rules outlined in 45 CFR 16.
Direct costs	Costs directly linked to a specific project, instructional activity, or other institutional activities, which can be accurately and easily allocated to those activities. See 2 CFR 200.413 Direct costs.
Discretionary award	An award in which the Federal agency, in keeping with specific statutory authority that enables the agency to exercise judgment ("discretion"), selects the recipient or the amount of Federal funding awarded through a competitive process or based on merit of proposals. A discretionary award may be selected on a non-competitive basis, as appropriate. See 2 CFR 200.1 Discretionary award.
Entity Identification Number (EIN)	A 12-character code in PMS comprising three parts: the first character indicates if the recipient is an organization or individual; the following 9 characters represent the TIN for organizations or the SSN for individuals; the final 2 characters differentiate between organizational entities with the same or multiple EINs, denoting subsidiaries, branches, or other subdivisions.

Equipment	A tangible item with a lifespan exceeding 1 year and a cost equal to or exceeding $10,000 per unit, or the recipient's capitalization threshold, whichever is lower. See 2 CFR 200.1 Equipment.
Excess property	Property that, as decided by the head of the agency or its representative, is no longer needed for the agency's functions or responsibilities. See 2 CFR 200.312(b).
Exempt property	Tangible personal property bought either entirely or partly with federal funds, where the agency has the legal authority to vest title to the recipient without additional obligations to the federal government. See 2 CFR 200.312 Federally owned and exempt property.
Expanded authorities	Permissions granted to recipients by the agency that eliminate the need for prior approval from the agency for certain activities. See 2 CFR 200.308(g) Waiver of prior approvals.
Expenditures	The charges made to the federally sponsored project or program by a recipient or subrecipient. They may be reported on a cash or accrual basis. See 2 CFR 200.1 Expenditures.
Extension	An additional timeframe beyond the original period of performance, granted by the agency or recipient (under expanded authority), to finalize project activities. Extensions can be funded, or no-cost. See Section 3.1.4 Extensions to Awards and 2 CFR 200.309.
Facilities and administrative costs (F&A)	See Indirect costs.
Federal institution	A Cabinet-level department or independent agency within the executive branch of the federal government, or any of its sub-entities.
Federal share	The proportion of the Federal award costs paid using Federal funds. See 2 CFR 200.1 Federal share.
Fee	A sum paid beyond the actual allowable costs to an entity delivering goods or services in line with standard commercial practice, often referred to as "profit."
Financial assistance	The provision of funds, property in place of funds, or other direct aid to a qualified recipient to encourage or further a public purpose authorized by law. See 2 CFR 200.1 Federal financial assistance.
Foreign component	The performance of a major part or component of a project outside the United States by the recipient or by a researcher affiliated with a foreign institution, regardless of whether award funds are used.
Foreign organization	An entity situated in a country outside of the United States and its territories, governed by the laws of that nation, regardless of the nationality of the proposed Principal Investigator/Project Director.

	See 2 CFR 200.1 Foreign organization.
For-profit organization	A legal entity formed for the purpose of generating profit for its shareholders or owners. See 2 CFR 200.1 For-profit organization for a list of general types of organizations that this includes.
Grant	A funding mechanism given to an eligible entity to support a public-purpose project or activity without significant involvement from the agency. Unlike direct benefits for the government, a grant provides financial assistance or other resources to accomplish approved objectives. See 2 CFR 200.1 Grant agreement or grant.
High risk	A recipient with a history of subpar performance, financial instability, or inadequate management, placing them at risk of financial or operational failure.
Human subject	An individual from whom an investigator collects data via intervention, interaction, or acquisition of identifiable private information, including organs, tissues, body fluids, or any related graphic or recorded details. Regulations at 45 CFR 46 govern the use of human subjects.

Indian tribe	Any Indian Tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. See 2 CFR 200.1 Indian Tribe.
Indian tribal governme nt	The governing body overseeing an Indian Tribe, group, or community, including Alaska Native villages per the Alaska Native Claims Settlement Act of 1971. This body is recognized by the Secretary of the Interior for access to specific programs and services via the Bureau of Indian Affairs and the Indian Health Service.
Indirect costs	Costs incurred for a common or joint purpose benefitting more than one cost objective and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. For Institutions of Higher Education, the term facilities and administrative cost is often used to refer to indirect costs. See 2 CFR 200.1 Indirect costs, 2 CFR 200.414, and 2 CFR 300.414.
Institution al review board (IRB)	A committee that safeguards the rights and well-being of human subjects in research. The IRB can approve, modify, or disapprove research activities under its jurisdiction.

Intangible property	Property without physical existence, such as trademarks, copyrights, data (including data licenses), websites, IP licenses, trade secrets, patents, patent applications, and property such as loans, notes and other debt instruments, lease agreements, stocks and other instruments of property ownership of either tangible or intangible property, such as intellectual property, software, or software subscriptions or licenses. See 2 CFR 200.1 Intangible property.
International Organization	An organization with members from multiple countries, representing their interests, regardless of whether its headquarters or activities are located within or outside of the US.
Invention	A potentially patentable or protectable discovery or invention made by an awardee during work funded by a contract, grant, or cooperative agreement. The term "subject invention" refers to inventions specifically conceived or first reduced to practice as part of the funded work.
Key personnel	The PI/PD and other individuals who contribute to the programmatic development or execution of a project in a substantive, measurable way, whether they receive salaries or compensation under the award.
Local government	Any unit of government within a State, including a county, borough, municipality, city, town, township, parish, local public authority, special district, school district, intrastate district, council of governments, or any other agency or instrumentality of a multi-, regional, or intra-State or local government. See 2 CFR 200.1 Local government.

Matching	See Cost sharing.
Merit review	An objective process of evaluating Federal award applications in accordance with the written standards of the Federal agency. This review is an unbiased evaluation of discretionary applications by experts in the relevant field. Also known as objective review. See 2 CFR 200.205 Federal agency review of merit of proposals.
Micro-purchase threshold	The dollar amount at or below which a recipient or subrecipient may purchase property, or services using micro-purchase procedures. See 2 CFR 200.1 Micro-purchase threshold.
Monitoring	A method of evaluating an award's programmatic and business management performance using data from reports, audits, site visits, and other sources.
Non-discretionary award	An award made by the Federal agency to specific recipients in accordance with statutory, eligibility, and compliance requirements, such that in keeping with specific statutory authority, the Federal agency cannot exercise judgment ("discretion"). A non-discretionary award amount could be specifically determined

	or by formula. See 2 CFR 200.1 Non-discretionary award.
Notice of funding opportunity (NOFO)	A formal announcement of the availability of Federal funding through a financial assistance program from a Federal agency. The notice of funding opportunity provides information on the award, such as who is eligible to apply, the evaluation criteria for selecting a recipient or subrecipient, the required components of an application, and how to submit the application. See 2 CFR 200.1 Notice of funding opportunity.
Objective review	See merit review.
Obligations	The value of commitments made by a recipient during a budget period for orders placed for property and services, contracts and subawards made, and similar transactions that require payment by a recipient or subrecipient under a Federal award that will result in expenditures by a recipient or subrecipient under a Federal award. See 2 CFR 200.1 Financial obligations.
Participant	Generally, an individual participating in or attending program activities under a Federal award, such as trainings or conferences, but who is not responsible for implementation of the Federal award. Individuals committing effort to the development or delivery of program activities under a Federal award (such as consultants, project personnel, or staff members of a recipient or subrecipient) are not participants. See 2 CFR 200.1 Participant.
Patent	A property right awarded by the federal government that grants the right to exclude others from making, using, or selling the invention for a period of years.
Peer review	A form of merit review of applications based on assessment by individuals of equal scientific or technical expertise (peers). This review ensures that applications meet high scientific or technical standards, as determined by experts in the relevant field.
Period of performance	The time interval between the start and end date of a Federal award, which may include one or more budget periods. Identification of the period of performance in the Federal award does not commit the Federal agency to fund the award beyond the currently approved budget period. See 2 CFR 200.1 Period of performance.

Pre-award costs	Costs incurred before the official start date of an award in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. These costs are only allowable with prior approval of the agency, unless waived by expanded authority. See 2 CFR 200.210 Pre-award costs and 2 CFR 200.458 Pre-award costs.

Principal Investigator/ Program Director	The individual(s) designated by the recipient to direct the project or program being supported by the award. The PI/PD is responsible and accountable to officials of the recipient organization for the proper conduct of the project, program, or activity.
Prior approval	Written approval obtained in advance by an authorized official of a Federal agency of certain costs or programmatic decisions. See 2 CFR 200.1 Prior approval.
Profit	See fee.
Program income	Gross income earned that is directly generated by a supported activity or earned because of the Federal award during the period of performance. Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees, and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. See 2 CFR 200.1 Program income.
Progress report	Regularly submitted reports, typically annually, from the recipient to the agency to evaluate progress and determine funding for the next budget period, excluding the final report.
Real property	Land, including land improvements, structures, and appurtenances, and legal interests in land, including fee interest, licenses, rights of way, and easements. Real property does not include movable machinery and equipment. See 2 CFR 200.1 Real property.
Recipient	The entity that receives a Federal award directly from a Federal agency to carry out an activity under a Federal program. The term recipient does not include subrecipients or individuals that are participants or beneficiaries of the award. See 2 CFR 200.1 Recipient.
Reimbursement	A payment made to a recipient upon its request after it makes cash disbursements.
Renewal award	A Federal award for which the start date is connected with, or closely follows, the end of the expiring Federal award. The start date of a renewal award begins a new and distinct period of performance. See 2 CFR 200.1 Renewal award.
Research	The systematic study directed toward fuller scientific knowledge or understanding of the subject studied. This includes activities involving the training of individuals in research techniques where such activities use the same facilities as other research and development activities and where such activities are not included in the instruction function. See 2 CFR 200.1 Research and Development

Research patient care	Routine and ancillary hospital services given to research participants. The expenses for these services are typically allocated to individual research projects using established research patient care rates or amounts. See 2 CFR 300.308 Research Patient Care.
Research and development	All basic and applied research activities and all development activities performed by a recipient or subrecipient. “Research” is the systematic study directed toward fuller scientific knowledge or understanding of the subject studied. “Development” is the systematic use of knowledge and understanding gained from research to produce useful materials, devices, systems, or methods, including designing and developing prototypes and processes. See 2 CFR 200.1 Research and Development
Subaward	An award provided by a pass-through entity to a subrecipient for the subrecipient to contribute to the goals and objectives of the project by carrying out part of an award received by the pass-through entity. It does not include payments to a contractor, beneficiary, or participant. A subaward may be provided through any form of legal agreement consistent with criteria in with 2 CFR 200.331, including an agreement the pass-through entity considers a contract. See2 CFR 200.1 Subaward.
Subrecipient	An entity that receives a subaward from a pass-through entity under a financial assistance award to carry out part of a Federal award. The term subrecipient does not include a beneficiary or participant. A subrecipient may also be a recipient of other Federal awards directly from a Federal agency. See 2 CFR 200.1 Subrecipient.
Substantive programmatic work	The primary project activities for which award support is provided.

Supply	All tangible personal property other than those described in the equipment definition. A computing device is a supply if the acquisition cost is below the lesser of the capitalization level established by the recipient or subrecipient for financial statement purposes or $10,000, regardless of the length of its useful life. See 2 CFR 200.1 Supply.
Suspending award activities	A temporary halt on a recipient's ability to use award funds until they take corrective action as directed by the agency or until the agency decides to end the award. This definition of "suspension" is distinct from its use in the context of debarment and suspension procedures. See 2 CFR 200.339(c).
Tangible personal property	Tangible assets including equipment and supplies, excluding intangible property like intellectual property.

Termination	The action a Federal agency takes to discontinue a Federal award, in whole or in part, at any time before the planned end date of the period of performance. Termination does not include discontinuing a Federal award due to a lack of available funds. See 2 CFR 200.1 Termination and 2 CFR 200.340 Termination.
Total costs	The sum of the allowable direct and indirect costs minus any applicable credits. See 2 CFR 200.402 Composition of costs.
Unallowable cost	A cost specified by law or regulation, federal cost principles, or term and condition of award that may not be reimbursed under a grant or cooperative agreement.
Unliquidated financial obligations	Financial obligations incurred by the recipient or subrecipient but not paid (liquidated) for financial reports prepared on a cash basis. For reports prepared on an accrual basis, these are financial obligations incurred by the recipient or subrecipient but for which expenditures have not been recorded. See 2 CFR 200.1 Unliquidated financial obligation.
Unobligated balance	The amount of funds under a Federal award that the recipient or subrecipient has not obligated. The amount is calculated by subtracting the total amount of the recipient's or subrecipient's unliquidated financial obligations and expenditures under the Federal award from the total amount of funds the Federal agency or pass-through entity authorized the recipient or subrecipient to obligate. See 2 CFR 200.1 Unobligated balance.
Vertebrate animal	Any live animal having a backbone or spinal column used or intended for use in research, research training, experimentation, biological testing, or related purposes.
Withholding cash payment	The agency, after following necessary steps, limits a recipient's access to funds until they make the needed corrections. See 2 CFR 200.339(a).

Appendix C: Post-Award Considerations by Type of Program, Activity, or Recipient

C.1: Services Provided by Affiliated Organizations

Universities and other organizations (parent organizations) sometimes create affiliated organizations.

The parent organization often provides considerable support services. These include administration, facilities, equipment, accounting, and other services. The affiliated organization includes the costs of these services in its indirect cost proposal.

In some cases, the agency may reimburse these costs. This happens only when the affiliated organization satisfies any of the following:

- It is charged for, and must legally pay for, the costs.
- It is subject to state or local law that sets out how to spend the federal reimbursement and a state or local official approves the expenditures.
- A formal agreement allows the affiliated organization to keep the related federal reimbursement. The parent organization may direct the expenditure of the funds or allow the affiliated organization to decide.

If these conditions don't apply, the agency cannot reimburse the costs. However, the services may be acceptable for cost-sharing purposes.

C.2: Data Sharing for Research and Demonstration Projects Considerations

C.2.1: Expectations

Sharing data and research tools is important to quickly turn research into useful products and knowledge to improve human health. This includes things like cell lines and software. Sharing information about demonstration projects helps others use and duplicate projects.

HHS reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes and to authorize others to do so. This also means requiring recipients and subrecipients to make such works available through agency-designated public access repositories. (See 2 CFR 200.315(b))

HHS encourages researchers to share their findings promptly.

If you enter subawards, including consortium agreements, you will want access to third-party data and/or research tools to ensure HHS can also access data and tools, if desired. Recipients should include a provision in the third-party agreement.

Your agency should provide guidance to you on how to make data available through a variety of ways. Please check the NoA and see 2 CFR 200.315(f).

When you share copies or samples of materials developed under the award, you can charge a small fee for shipping and handling these items. Any income earned from this is considered program income.

If you think you can't meet these expectations, talk to the GMS before getting an award.

C.2.2: Timely Release of Research Data and Tools

Investigators should share their final research data and tools either when their main findings are accepted for publication or when they submit findings to the agency.

C.2.3: Protection of Certain Data

HHS knows data sharing can be complicated due to various rules and laws, including the HIPAA Privacy Rule, Human Research Protections, and others. We must always protect the privacy of project participants and their data. HHS will work with you to maximize public access to Federally funded research results and data in a manner that protects data providers' confidentiality, privacy, and security. Please check your NoA and ask your GMS or PO for guidance.

For wider use, data must not include any indicators that could reveal the identity of individual participants. Researchers need to ensure that data from human cells or tissues also can't reveal the identity of the original donors.

Researchers can share materials through their lab or organization or submit them to a repository. They should send unique biological data, like DNA sequences, to the appropriate data banks. When sharing unique resources, investigators must provide details about the nature, quality, or characterization of the materials.

C.3: Conference Awards

If you have questions about conference awards or what's allowed under your award, ask your GMS. Here are definitions and details about costs related to conference awards:

- Conference: Events like meetings, retreats, or seminars that share technical information. They must be necessary and reasonable for the award's success. See 2 CFR 200.432.
- International conference: A meeting open to attendees from at least two countries outside of the U.S. It can be anywhere, even in the U.S. But, if it's outside the U.S., award funds can't cover general support. They can cover specific parts, like a workshop or panel.
- Domestic conference: A meeting in the U.S. mainly for attendees from these two countries. Award funds can support these conferences, whether they're domestic or international.

C.3.1: Funding Requirements

The NoA will include any specific requirements. A change in conference focus is a change in scope and needs prior approval.

C.3.2: Acknowledgment of Support and Disclaimer

All conference materials, like agendas or media promotions, must mention HHS support, whether in whole or in part. Refer to Appendix D for the exact wording of this acknowledgment.

If you're releasing a press statement about activities supported by an HHS award, inform the agency beforehand to coordinate, which may include a review of mate

C.3.3: Allowable and Unallowable Costs and Activities

Please refer to 2 CFR 200 Subpart E, your NOFO/NoA, and the HHS agency.

C.3.3.1: Other Cost Considerations

If you don't have a written travel policy, follow the Federal Travel Regulation. Always adhere to the U.S. foreign travel restrictions in place at the time, which may include restrictions on countries or limits on funds for travel.

When attending a conference:

- Only claim per diem for days you attend and the actual travel time, taking the most direct route.
- Local travel costs can be covered for local attendees only.
- If meals or lodging cost are nominal or free, like within a registration fee, adjust your per diem accordingly.
- Travel costs shouldn't exceed coach fares. Always choose U.S. carriers when possible.

C.3.4: Intellectual Property: Publications, Copyright, and Public Disclosure

If you publish something using HHS funds, you can distribute it for free. If you sell it, the money earned is considered program income and should be reported as directed in your NoA and on the FFR. More details can be found in GPS Chapter 3.2.11 (Program Income).

You can seek copyright for publications from an HHS-supported conference unless your award says otherwise. However, HHS still has rights to the materials, as mentioned in the Irrevocable and the Royalty-Free License GPS section After the Award.

C.4: Construction and Modernization of Facilities Awards

C.4.1: Applicability and Definitions

Note that construction and modernization activities must be allowed by law; that law may provide more specifics about allowable construction and modernization activities. However, as a general matter, this section applies to the following HHS award-supported activities:

- Construction: constructing a new building, structure, or facility that provides new space. It also includes installing fixed equipment in such space. It excludes purchasing land and ancillary improvements like parking lots, roads, or fencing. Constructing shell space is not allowed as a construction activity as it does not provide usable space.
- Modernization: altering, renovating, remodeling, improving, expanding, or repairing an existing building. Also includes completing existing shell space. Activities must make the building suitable for the purposes of a particular program. This can include space used for storage or by people. It can range from updating flooring to replacing everything except for the existing frame and foundations. If the main award purpose is modernizing a biomedical research facility, the award can't also support research.
- Alteration and renovation (A&R) activities: These are modernization activities and can be under research awards where the primary purpose of the award is other than construction or modernization.

Refer to the NoA for additional related requirements.

C.4.2: Allowable and Unallowable Costs and Activities

This section outlines costs and activities generally allowable and unallowable under construction awards. The final decision on whether a cost is allowable is based on the decision of the HHS agency and the program.

These policies apply to the use of federal funds and cost sharing. The lists are not all-inclusive. Consult program guidelines and award terms and conditions for specific costs allowable under a program or award.

C.4.2.1: Allowable Costs and Activities

- Acquisition and installation of fixed equipment
- Architectural and engineering services
- Bid advertising
- Bid guarantees and performance and payment bonds as provided in 2 CFR 200.326.
- Contingency funds for unanticipated charges included in the initial cost estimates for construction contracts. Before you receive bids, the budgeted amount can't exceed five percent of expected construction costs. You must reduce it to not more than two percent after you award a construction contract.
- Filing fees for recording the Notice of Federal Interest (NFI)
- Force accounts to provide funding for your own construction and maintenance staff used in carrying out modernization activities. These are allowable if you can document that a force account is less expensive than if you were to competitively bid the work. You must substantiate costs with receipts for the materials and certified labor pay records. Use of a force account requires agency prior approval.
- Compliance with the National Historic Preservation Act. This can include:
    - hiring special consultants to research and document the historic value of proposed performance sites
    - costs to prepare and present required materials to inform the public and others.
- Incentive costs for contractors consistent with contract type as specified in the solicitation of bids or proposals and in the contract. Incentive costs must be reasonable and documented, including that conditions to earn the incentive were met. Incentive-type contracts may also contain a penalty provision. Other types of bonus payments are not allowable.
- Inspection fees.
- Insurance costs of title insurance, physical-destruction insurance, and liability insurance are generally allowable. Physical destruction and liability insurance are usually treated as F&A costs. However, you can treat it as a direct cost if your established policy does so and you consistently do so. You may charge title insurance, if required, to the award in proportion to the amount of agency participation in the property. See Real Property —Insurance.
- Legal fees related to obtaining a legal opinion about title to a site.

- Relocation expenses.
- Sidewalks necessary for use of facility.
- Site clearance costs are allowable if reflected in the bid.
- Site survey and soil investigation costs.
- NEPA analysis costs to evaluate the environmental effects and produce the Environmental Impact Statement (EIS).
- Pre-award costs for architect and consultant fees needed for planning and design are allowable if the project is later approved and funded.
- Project management costs.
- Threat-risk assessment costs for a site-specific or project-specific assessment of security risk by a qualified professional. The threat-risk assessment identifies and quantifies potential threats, both internal and external to the building, its contents, the personnel working in it, and the public. The analysis also includes examination and evaluation of the physical aspects of the proposed facility, along with operational issues.

C.4.2.2: Unallowable Costs and Activities

- Bonus payments other than earned incentive payments to contractors under formal incentive arrangements
- Construction of shell space designed for completion at a future date
- Consultant fees not related to actual construction
- Damage judgment suits
- Equipment purchased through a conditional sales contract
- Indirect/F&A costs
- Fund-raising expenses
- Land acquisition
- Legal services not related to site acquisition
- Movable equipment
- Off-site improvements such as parking lots

C.4.3: Prior-Approval Requirements

You must get agency prior approval for the following types of project or budget changes:

- Any applicable changes as specified in Chapter 3.1 (Prior Approvals).
- Change in the use of the facility. See Appendix C.4.6 (Use of Facility and Disposition).

You must provide enough details in your approval request to explain why you need the change. Once approved, you can make the changes. For smaller changes to construction contracts, you don't need prior

approval. But keep copies of all changes as part of your award records.

C.4.4: Procurement Requirements

Construction activity usually is conducted through one or more contracts. All such procurement must use the methods described in 2 CFR 200.318 through 2 CFR 200.327 as applicable.

C.4.5: Equal Employment Opportunity, Labor Standards, and Other Contract Requirements

You must provide equal employment opportunity and labor standards requirements for federally assisted construction and modernization to potential bidders/offerors and include them in the resulting contract. See 2 CFR 200.327 (incorporating 2 CFR 200 Appendix II (C)) and 41 CFR Subtitle B Chapter 60. The Davis-Bacon Act or the Copeland "Anti- Kickback" Act apply only if specifically required by the program's authorizing statute. The NoA will show if they apply.

C.4.5.1: Equal Employment Opportunity Requirements

Construction contracts (and subcontracts) awarded under HHS awards must follow the requirements of 41 CFR 60-1 (implementing EO 11246). Recipients must:

- Include the clause at 41 CFR 60-1.4(b) in any construction contract under the award. You must direct the contractor to include this clause in any applicable subcontracts.
- Follow solicitation and contract requirements specified in 41 CFR 60-4 for contracts in specified geographical areas (designated by DOL's Director of the Office of Federal Contract Compliance Programs) that will exceed $10,000.
- Notify the Office of Federal Contract Compliance Programs regional, area, or field office when you expect to award a construction contract over $10,000.

Under 41 CFR 60-1.8, segregated facilities are not permitted for any contract for construction services that will exceed $10,000. The recipient must require each prospective contractor to submit a certification that the contractor:

- Maintains all facilities provided to employees in a non-segregated manner.
- Prohibits its employees to perform services at any location, under the contractor's control, that maintains segregated facilities; and
- Obtains a similar certification before awarding any covered subcontract.

C.4.5.2: Labor Standards Requirements

Under EO 13202, as amended by EO 13208, you must ensure that bid specifications, project agreements, or other controlling documents for construction services contracts:
Ensure that bidders, offerors, contractors, or subcontractors are able and willing to enter or adhere to agreements with one or more labor organizations on the same or other related construction projects.
Refrain from discrimination against bidders, offerors, contractors, or subcontractors for initiating, refusing to initiate, or adhering to agreements with one or more labor organizations, on the same or other related construction projects.

Awards, contractors, and subcontractors with construction contracts or subcontracts over $100,000 financed at least in part with a federal award must follow the Contract Work Hours and Safety Standards Act, 40 USC 3701–3708. Among other provisions, the statute covers standards listed below. Consult the statute for proper interpretation and guidance.

- Work hours
- Report of violations and withholding of amounts for unpaid wages and liquidated damages
- Health and safety standards in building trades and construction industry
- Safety programs
- Limitations, variations, tolerances, and exemptions
- Contractor certification or contract clause in acquisition of commercial items not required
- Criminal penalties

C.4.5.3: Other Requirements

C.4.5.3.1: Liquidated Damages

Invitations for bids must supply a date or timeframe to complete the project for each prime contract. You may include a liquidated damages provision in the contract. It allows you to assess damages when the contractor does not complete the construction or modernization by the specified date. Liquidated damages must be real, justified, and approved by the agency before solicitation. Where damages are assessed, any amounts paid belong to the recipient.

C.4.5.3.2: Disposition of Unclaimed Wages

If an employee doesn't claim wages from an HHS-supported construction contract, the recipient might need to pay HHS back. Here's the process:

- Check that the contractor tried to find the employee. This might include forwarding mail or contacting their union.
- If the contractor's search fails but seems incomplete, try to find the employee.
- Open an escrow account in the employee's name. Keep it for two years after the contract ends, or longer if local laws say so. Tell the GMS about this account.
- If you pay wages from the account to the employee or their representative, report to the GMS when you close the account.
- If money is still unclaimed after two years, refund the agency based on the award's contribution to those wages.

C.4.6: Use of Facility and Disposition

Unless a statute or instructions from your agency say otherwise, here's how to manage real property:

- Keep using the property for its intended purpose. Don't sell or encumber the title without approval.
- If you don't need it for the initial purpose, get written approval from the agency to use the facility in a similar federally funded project.

- If you no longer need the property, follow the rules in 2 CFR 200.311(d). Your options include:
    - Keep it and pay the agency their fair share based on their contribution and the property's market value.
    - Replace it. If buying new property under the same award, use any sales money to reduce the new property's cost.
    - Sell it and pay the agency based on a formula in 2 CFR 200.311 (d)(2).
    - Transfer it to the agency or their approved third party. From the sale, you are entitled to your fair share based on your contribution and the property's current market value.

C.5: Foreign Organizations, International Organizations, and Domestic Recipients with Foreign Components

The GPS generally applies to awards made to foreign organizations and international organizations. You can find the definitions of these terms in Appendix B of the GPS. In this section, we refer to them as foreign awards.

The AOR must contact the GMS if their organization can't follow these requirements. This section includes:

- Exceptions and modifications to GPS requirements for foreign awards
- Highlights of other related policies
- Policies that apply to awards with a foreign component

C.5.1: Public Policy Requirements and Objectives

Requirements in Appendix D apply to foreign awards, unless otherwise noted here, the NoA, or in agency policies. Exceptions include:

- Civil rights: The civil rights requirements do not apply to foreign awards.
- Debarment and suspension: These rules and the certification requirement do not apply to:
    - foreign governments and foreign organizations
    - public international organizations
    - entities that are foreign-government-owned or controlled, in whole or in part
    - All other foreign organizations and international organizations are subject to these rules
- Drug-Free workplace: The agency may exempt foreign awards from these
- requirements. To do so, they must find that the requirements are not consistent with U.S. international obligations or the laws and regulations of a foreign government.
- Environmental requirements: A foreign award isn't subject to environmental requirements that would not otherwise apply to it.

C.5.2: Funding and Payment

These policies apply:

- All application budgets, fund requests, and financial reports must be in U.S. dollars.
- If exchange rates change, extra costs might be covered, depending on the agency's available funds.
- You only need prior approval for rate changes if they lead to needing more federal funds or if they will reduce project scope significantly.
- Review local currency gains to determine if you will need additional federal funding before the award ends.
- Adjustments for currency increases may be allowable only when you provide the agency with adequate source documentation from a commonly used source in effect at the time you made the expense.

C.5.3: Allowable and Unallowable Costs

The cost principles that apply to foreign organizations depend on the type of organization. See Cost Principles. There are some exceptions:

- Major A&R are unallowable under foreign awards and domestic awards with foreign components, except where allowed by the governing statute and as indicated in the NoA.
- Minor A&R are generally allowable on awards made to foreign organizations or to a foreign component of a domestic award, unless prohibited by the governing statute or implementing program regulations. You may include and justify minor A&R costs in the detailed application budget. Rebudgeting to accommodate minor A&R requires prior approval.
- F&A Costs under foreign awards, including foreign recipients with a domestic component, are at a fixed rate of eight percent of modified total direct costs. These are direct costs minus tuition and related fees, equipment, and subawards more than $25,000. See 2 CFR 300.414(b). These funds are to support the costs of compliance with federal requirements.
    - 2 CFR 300.414(c) allows the World Health Organization and American University, Beirut to use their negotiated indirect cost rates.
- Capital expenses (facilities) are not allowable, except where allowed by the governing statute and as indicated in the NoA. The agency will not support the acquisition cost or provide for depreciation.
- Equipment is an allowable direct cost.
- Research patient care costs are provided only in exceptional circumstances or where allowed by the statute setting up the award program. See 2 CFR 300.308.
- Travel Visas (including short-term) are generally allowable:
    - As a direct cost as part of recruiting costs if the institution has an employee- employer relationship with the individual
    - When identified in specific NOFOs
    - If within the scope of an approved research project

C.5.4: Administrative Requirements

Expanded authorities generally apply to foreign awards. Review the NoA to determine the specific award requirements. See GPS Chapter 3.1 (Prior Approvals and Expanded Authority sections). Requirements for foreign awards also apply to subawards to foreign entities under financial assistance arrangements, rather than acquisition of goods or services.

If you make a subaward to a foreign entity, to comply with audit requirements, you must include oversight methods. These may include reviewing reports, on-site reviews, or alternatives to a single audit, if one will not be available during the period of the subaward.

C.6: Federal Institutions and Payments to or on Behalf of Federal Employees Under Awards

Most policies contained in the GPS apply to awards made to federal institutions. This section includes specific exceptions and modifications of general GPS requirements for federal recipients. It also highlights other related policies.

(See 2 CFR 300.219 for the regulatory modifications for federal agency recipients).

C.6.1: Eligibility

Specific eligibility is in each NOFO. An agency may not issue an award to any component of its own organization.

Public Health Service (PHS) organizational segments, other than IHS hospitals, may only receive award support under exceptional circumstances. Such circumstances may include when the work cannot be supported within the mission of the PHS agency and cannot be performed elsewhere.

Regardless of where the work is performed, the federal agency or department is the official applicant. A federal institution must ensure that its own authorizing legislation allows it to receive awards and to be able to comply with the award terms and conditions.

A document that assures both the responsibility and authority to receive an award must be included with each new and competing continuation application. The assurance must be signed by the head of the responsible federal department or independent agency or a designee who reports directly to the department or agency head. This assurance is in addition to those made by the AOR's signature on the face page of the application. The assurance requirement does not apply to Veterans Administration hospitals, Bureau of Prisons' (Department of Justice) hospitals, IHS hospitals, or other PHS organizational segments.

C.7: For-Profit Organizations

C.7.1: General

Terms and conditions for for-profit organizations vary from standard ones. Also, terms and conditions for SBIR and STTR programs vary from those usually applied to for-profit organizations.

C.7.2: Cost Principles

Usual cost principles (2 CFR 200 Subpart E) do not specifically apply to for-profit organizations. As a result, use:

- For for-profit organizations: FAR, 48 CFR 31.2
- For private hospitals: 2 CFR 300 Appendix IX

C.7.3: Allowable and Unallowable Costs

C.7.3.1: Allowable Costs

- Indirect costs
- Travel that does not exceed costs established by the Federal Travel Regulation (FTR)

C.7.3.2: Unallowable Costs

- Independent research and development costs, as provided in 2 CFR 300.477.
- Profits or fees, except for awards under the SBIR and STTR programs and funds paid to a contractor for routine goods or services. See 2 CFR 300.218.

Consult the GMS for questions on costs.

C.7.4: Administrative Requirements

For-profit organizations generally are subject to the same administrative requirements as non-profit organizations, including those relating to personal property title and management.

- Equipment: For-profit groups must track equipment. You can't use award-funded equipment to compete unfairly by offering paid services. Any fees charged for using the equipment count as program income and you must report it on the FFR.
- Intellectual property: All for-profit groups, regardless of size, follow the intellectual property rules in 37 CFR 401. For-profit organizations have different invention reporting rules than non-profits. For-profit organizations can assign invention rights to others without agency approval, but they must still report each invention. The federal government will keep information about federally supported inventions confidential, as allowed by law.
- Program income: See Program Income.
- Expanded authorities: Standard award terms apply to for-profit organizations. However, some awards will not allow automatic carryover of unobligated fund balances. The NoA specifies the disposition of the reported unobligated balance.
- Audit: Requirements for non-federal audits of for-profit organizations are in 2 CFR 300.218(d). See also 2 CFR 200.501(i) (exempting for-profit organizations from the audit requires in 2 CFR 200 Subpart F). For-profit organizations are subject to requirements for non-federal audits. See GPS Chapter 4.3.2 (Audit Requirements).
- Labor distribution requirements: Salary and wage amounts charged to awards for personal services must:
    - Be based on an adequate labor distribution system that distributes payroll costs in line with generally accepted practices of like organizations
    - Align to industry standards.

- Track time spent on award activities. The time and-effort reporting system used must:
- Be for both professional and other staff
- Reflect daily reporting
- Track time by individual projects and indirect activities
- Record both hours worked, and hours absent
- Enable the AOR to meet the requirement to certify time entries at least every pay period
- The GMS must approve any alternative system.

C.8: Small Business Innovation Research and Small Business Technology Transfer Programs

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs have three phases. Some projects might not be eligible for all three. See the Small Business Administration's Policy Directive for full detailed SBIR/STTR policies.

C.8.1: SBIR/STTR Phased Awards

C.8.1.1: Phase I

Before providing Phase II support, this phase assesses:

- The technical merit and feasibility of proposed research or R&D
- The quality of the applicant's performance

C.8.1.2: Phase II

This phase advances efforts started in Phase I. These policies apply:

- Funding is based on the results of Phase I and the scientific and technical merit and commercial potential of the Phase II application.
- Usually, only Phase I recipients can apply for Phase II funding.
- You can only submit Phase II applications before a Phase I award if using the Fast- Track application process (see below).
- You must submit standard (not Fast-Track) Phase II applications within the first six receipt dates after the end of your Phase I budget period. This is typically two years.

C.8.1.3: Phase III

The SBIR and STTR programs do not fund Phase III. This phase is for the SBC to work to commercialize the results of the research or R&D done in Phases I and II. In some cases, a federal agency may:

- Use non-SBIR and STTR funds to continue the work
- Contract for items for federal use

C.8.2: SBIR and STTR

C.8.2.1: STTR

The STTR program focuses on teaming a Small Business Concern (SBC) with a non-profit research body for a project that might be turned into a product.

The program requires:

- The SBC collaborates with a single non-profit research institution.
- The SBC must do at least 40% of the research. A domestic non-profit organization does at least 30%. This rule is the same for both Phase I and Phase II.
- Eligible research partners include universities, non-profit hospitals, other non-profits research organizations, and federally funded Research and Development Centers.
- The award goes to the SBC. It disperses funds to the research institution.
- The PI must spend at least 10% of their time on the STTR project.

C.8.2.2: SBIR

The SBIR program requires that SBC employ the PI at least half-time at the time of award and during the project.

C.8.3: Fast-Track Process

The Fast-Track process speeds up decisions and funding for SBIR and STTR Phase II applications. Policies include:

- To be eligible, the project must be scientifically meritorious with a high potential for commercialization.
- Not every agency lets SBCs use Fast-Track. Talk to the agency first before applying.
- If you aren't approved for Fast-Track, your application might go through the regular review.
- With Fast-Track, Phase I and Phase II applications are handled together and usually get one overall score.

For more details, check the SBIR and STTR NOFOs.

C.8.4: Place of Performance and Sources of Materials

All project activities for Phase I and Phase II of SBIR and STTR must be done in the United States. Using a foreign site for research is rare and needs a solid scientific reason. An example includes testing specific patient groups only available abroad. You must attempt to get alternate funding for the part of the work to be done abroad.

If you must buy materials from another country, you must have a good reason and clearly explain it. Approval of such a waiver is rare. The agency reviews each request individually. If you'll need to do this, talk to the GMS before you apply.

GMSs decide waiver requests. The NoA will clearly state if it is approved.

C.8.5: Change in Organization Status & Change of Recipient Institution Actions

The agency makes eligibility decisions at the initial award time.

A later event like a merger or successor-in-interest could alter the organization's status. If the change

makes the organization ineligible for the SBIR or STTR program:

- Any current awards can still proceed unless the small business concern makes a material misstatement that the agency decides poses a risk to national security; or there is a change in ownership, change to entity structure, or other substantial change in circumstances of the small business concern that the Federal agency decides poses a risk to national security.
- After that, the organization will not qualify for new SBIR or STTR awards.

If an SBIR or STTR award needs to be transferred to a different institution or organization, this new entity must also fulfill the eligibility requirements of the SBIR or STTR program.

Contact the agency to discuss options when considering a move to a new organization.

C.8.6: Minimum Level of Effort

Congress requires minimum levels of effort for these programs. SBIR

required levels of effort:

Program and Phase:	SBC level of effort:	Aggregate payments to others may not exceed:
SBIR Phase I	66.67%	33.33%
SBIR Phase II	50%	50%

STTR minimum levels of effort:

Program and Phase:	SBC minimum level of effort:	Single, non-profit research institution minimum LOE:
STTR Phase I	40%	30%
STTR Phase II	40%	30%

Policies include:

- Waivers are not allowed.
- The basis for establishing the percentage of work to be done by each participant is the entire cost (including direct, indirect costs, and fee) related to each party. However, if described and justified under the “Consortium/Contractual Arrangements” section of the application, a different basis might be used.

C.8.7: Multiple Principal Investigator or Program Director Applications and Awards

Team science efforts may use a multiple program director or principal investigator (Multi PI/PD) option. The following policies apply:

- The SBC is always the applicant or recipient organization. Other participants are subcontractors.
- Each PI or PD must commit at least 1.2 calendar months (10% effort) to the project.
- SBIR Phase I and II projects: The contact PI or PD must meet the primary employment

requirement. Other PIs or PDs do not have to meet the requirement.

- STTR Phase I and II projects: The PI listed must have a formal appointment with, or commitment to, the SBC. This must be an official relationship but does not require pay.
- Phase IIB Multi PI/PD competing renewal applications: If previously supported through a single PI/PD award, the new application must state the changes in the project's management that led to the proposed Multi PI/PD model.

C.8.8: Public Policy Requirements

Requirements in Appendix D: Administrative and National Policy Requirements apply, unless otherwise noted here or in agency policies.

- Disclosure of financial conflicts of interest does not apply to Phase I of the SBIR and STTR programs. See 42 CFR 50.602.
- Under an SBIR or STTR award, the SBC should purchase only American-made equipment or products when possible.

C.8.9: Allowable Costs and Fees

C.8.9.1: Program Levels (Total Costs)

The SBA SBIR and STTR Policy Directive provides program levels for SBIR and STTR programs based on statutory guidelines. The directives allow agencies to exceed these levels up to 50% over the guideline when the proposed budget and requested period of support are justified and scientifically appropriate for the proposed research.

In some cases, Phase II SBIR or STTR recipients may apply for Phase IIB competing renewal awards. These are available for projects that require extraordinary time and effort for R&D. Only those SBCs awarded a Phase II may apply for the Phase IIB award.

Applicants must request an appropriate level of funding in the competing application. The agency will not adjust it after submission.

C.8.9.2: Profit or Fee

SBCs can earn a reasonable profit or fee under Phase I and II of the SBIR and STTR programs.

- This profit or fee must be in the application budget.
- The profit or fee isn't considered a cost for determining allowable use, program income accountability, or setting audit thresholds.
- The SBC can use the profit or fee for any purpose, including investment into the awarded project.
- The intent is to provide a reasonable profit consistent with normal profit margins for for-profit organizations for R&D work. Typically, the profit or fee will not surpass seven percent of the total project costs for each phase.
- The profit or fee should be drawn from PMS in proportion to the drawdown of funds for direct and indirect costs.

- The profit or fee is exclusively for the SBC that receives the award. However, in line with regular commercial practices, the SBC can pay a profit or fee to a contractor that provides routine goods or services under the award.

C.8.9.3: Indirect Costs

If the applicant SBC has an effective indirect cost rate with a federal agency, the rate should be used when calculating proposed indirect costs for an application. The rates must be adjusted for independent R&D expenses, which are not allowable under HHS awards.

If that applicant does not have an approved indirect cost rate, one can be proposed in the application. See below for specific requirements for each phase. If awarded at a rate, indirect costs cannot exceed the awarded rate unless the SBC negotiates an indirect cost rate with a federal agency. The agency will not negotiate indirect cost rates for Phase I awards.

If you do not have an effective negotiated indirect cost rate, you may propose estimated indirect costs at a rate not to exceed 40 percent of the total direct costs. You can charge only actual indirect costs to projects.

Phase II

If you do not have an effective negotiated indirect cost rate, you may propose an estimated indirect rate in the application.

If the requested rate is 40 percent of total direct costs or less, you do not need to provide further justification. You can charge only actual indirect costs to projects.

If you choose to negotiate an indirect cost rate greater than 40%, DFAS is the appropriate agency. Upon request, provide DFAS with an indirect cost proposal and supporting financial data for your most recently completed fiscal year. If you do not have financial data for the most recently completed fiscal year, submit a proposal showing estimated rates with supporting documentation.

C.8.10: Administrative Requirements

C.8.10.1: Market Research

HHS will not support market research, including studies of the literature that lead to a new or expanded statement of work.

No SBIR or STTR funds, direct or indirect, can be used to support commercialization.

For SBIR and STTR programs, market research is the systematic gathering, editing, recording, computing, and analyzing of data relating to the sale and distribution of the research subject. It includes research on:

- The size of potential markets and potential sales volume
- Identifying consumers most apt to purchase the products
- The advertising media most likely to stimulate their purchases

Market research does not include activities that include a public survey to determine the research subject's impact on the behavior of individuals.

C.8.10.2: Intellectual Property

The recipient keeps rights to data and software created with award funding. However, the federal government has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use the material and to authorize others to do so for Federal purposes.

For SBIR and STTR awards, unlike other commercial awards, such data cannot be released outside the Federal government without the recipient's permission for a period of 20 years from completion of the project.

C.8.10.3: Data Rights

Section 9 of the Small Business Act, as amended (15 USC 638), allows SBC's under an SBIR or STTR award to retain their data rights for at least 20 years. The SBIR/STTR Policy Directive applies the following data rights:

- The Act allows small business concerns (SBCs) to keep the rights to data they create while working on an SBIR/STTR award. This helps encourage SBCs to participate in Federally funded research and supports them in commercializing their technology. The Federal Government will have access to this data to assess the projects and use the results, but it cannot use the data in ways that would hurt the SBC's rights or economic opportunities. The SBIR/STTR data rights provisions and definitions ensure that the Federal Government effectively protects properly marked SBIR/STTR data during the SBIR/STTR protection period just as well as it protects data developed at private expense.
- Federal agencies that participate in SBIR/STTR awards must make sure that SBC recipients keep appropriate proprietary rights to data generated while working on an award. In general, this means the Federal Government will have rights to that data during the protection period, except for certain types of data that are not subject to such data rights restrictions.
- SBIR/STTR data rights apply to all SBIR/STTR awards, including subcontracts, for all phases of the program (I, II, or III) as defined by the SBA Policy Directive from May 2, 2019. The rights for Phase III awards are the same as those for Phases I and II.
- SBIR/STTR data rights restrict the Federal Government's use and release of properly marked SBIR/STTR data only during the SBIR/STTR protection period. After the protection period, the Federal Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for government purposes. At this time, the Federal Government is relieved of disclosure prohibitions related to such government purposes and assumes no liability for unauthorized use of these data by third parties. The Federal Government receives unlimited rights in Form, Fit, and Function Data, OMIT Data, and all unmarked SBIR/STTR data.

SBIR/STTR Data Rights - Main Elements:

- An SBC retains title and ownership of all SBIR/STTR data it develops or generates in the performance of an SBIR/STTR award. The SBC retains all rights in SBIR/STTR data that are not granted to the Government in accordance with the SBA Policy Directive. These rights of the SBC do not expire.
- The Government receives SBIR/STTR data rights during the SBIR/STTR protection period on all appropriately marked SBIR/STTR data. These rights enable the Federal Government to use SBIR/STTR data in limited ways within the Government, such as for project evaluation purposes.

These rights are intended to prohibit use and disclosure of SBIR/STTR data that may undermine the SBC's future commercialization of the associated technology. The Government receives unlimited rights in Form, Fit, and Function Data, OMIT Data, and all unmarked SBIR/STTR data.

- After the SBIR/STTR protection period has expired, the Federal Government may use, and authorize others to use on its behalf, for government purposes, SBIR/STTR data that was subject to SBIR/STTR data rights during the SBIR/STTR protection period.
- The SBIR/STTR protection period begins with award of an SBIR/STTR funding agreement. It ends twenty years, or longer at the discretion of the participating agency, from the date of award of an SBIR/STTR award (either Phase I, Phase II, or Federally funded SBIR/STTR Phase III) unless the agency and the SBC negotiate for some other protection period for the SBIR/STTR data after the award.
- Any SBIR/STTR data that is delivered must be marked with the appropriate SBIR/STTR data rights legend or notice to receive the protections given to SBIR/STTR data pursuant to SBIR/STTR data rights. The Government is not liable for the access, use, modification, reproduction, release, performance, display, disclosure, or distribution of SBIR/STTR data that is not appropriately marked in line with agency procedures. If SBIR/STTR data is delivered without the required legend or notice, the SBIR/STTR recipient may, within 6 months of such delivery (or a longer period approved by the agency for good cause shown), request to have an omitted SBIR/STTR data legend or notice, as applicable, placed on qualifying data. If SBIR/STTR data is delivered with an incorrect or nonconforming legend or notice, the agency may correct or permit correction at the recipient's expense.

Negotiated Rights:

- An agency must not, in any way, make issuance of an SBIR/STTR award conditional on the SBC negotiating or consenting to negotiate a special license or other agreement regarding SBIR/STTR data. The negotiation of any such specially negotiated license agreements shall be permitted only after award.
- After issuance of an SBIR/STTR award, the SBC may enter into a written agreement with the agency to modify the license rights that would otherwise be granted to the agency during the SBIR/STTR protection period. However, the agreement must be
- entered voluntarily, by mutual agreement of the SBC and agency. The agreement cannot be a condition for additional work under the funding agreement or the exercise of options. The agreement must be entered into only after the SBIR/STTR award, which must include an appropriate SBIR/STTR data rights clause, has been signed. Any such specially negotiated license must be in writing under a separate agreement after the SBIR/STTR funding agreement is signed. A decision by the recipient to relinquish, transfer, or modify in any way its rights in SBIR/STTR data must be made without pressure or coercion by the agency or any other party. Any provision in a competitive non-SBIR or SBIR solicitation that would have the effect of diminishing SBIR/STTR data rights shall have no effect on the provision of SBIR/STTR data rights in a resulting Phase I, Phase II, or Phase III award.
- To ensure that SBIR/STTR recipients receive the applicable data rights, all SBIR and STTR NOFOs and resulting funding agreements must fully implement all the policies, procedures, and requirements set forth in the SBA Policy Directive in appropriate provisions and clauses

incorporated into the SBIR/STTR NOFOs and awards. The SBA Policy Directive provides a sample SBIR/STTR data rights clause containing the key elements that must be reflected in the clause used in Federal Agency solicitations. SBA will report to the Congress any attempt or action by an agency, that it is aware of, to condition an SBIR or STTR award on the negotiation of lesser data rights or to exclude the appropriate data rights clause from the award.

- The STTR program requires that the SBC and the single, non-profit research institution execute an agreement allocating between the parties' intellectual property rights and rights, if any, to carry out follow-on research, development, or commercialization of the subject research.

SBIR and STTR recipients are covered by 35 USC Chapter 18 and 37 CFR 401 with respect to inventions and patents.

C.8.10.4: Data Sharing

For SBIR Phase II funding over $500,000 in a year in direct costs, applicants must follow the GPS on data sharing, unless the Small Business Act conflicts. If the data is proprietary or sensitive, the SBC should explain it in the application. Whether or not the award meets the threshold for data sharing under Intellectual Property, HHS won't share data outside the federal government without recipient approval for a period of 20 years from completion of the project.

For more information, please see NIH's SBIR/STTR information page.

C.9: Research Awards

C.9.1: Human Subjects in Research

The regulation for all HHS awards involving human subjects research is 45 CFR 46, Basic HHS Policy for Protection of Human Subjects. Subpart A is also known as the Common Rule. These regulations implement Section 491(a) of the Public Health Service (PHS) Act. These regulations apply to both domestic and foreign organizations.

The Office for Human Research Protections (OHRP), Office of the Assistant Secretary for Health, is the office with HHS-wide responsibility for research involving human subjects under this policy.

All NOFOs will clearly state:

- The parameters of human subject use
- The information and assurances required from you prior award

There is a single version of the Federal-wide Assurance (FWA) form and Terms of Assurance for domestic and international institutions.

Recipients, whether domestic or international, must safeguard the rights and welfare of human subjects in HHS-conducted or -supported activities (45 CFR 46.101(a) and 45 CFR 46.103(a)).

Recipients must ensure that subrecipients follow these requirements, as applicable. Recipients must facilitate the process for obtaining prior approval for subrecipients if not approved in the award.

C.9.1.1: Exemptions

Some human subject research is exempt from the requirements of the HHS regulations.

The categories of research that qualify for exemption are found at 45 CFR 46.104(d)(1)-(8). HHS has final authority to decide if a particular research study supported by HHS is exempt from the HHS regulations. OHRP is the only component of HHS with the delegated authority to interpret and enforce the regulatory requirements in 45 CFR 46.101(c) regarding whether a particular activity is regulated by 45 CFR 46. Contact OHRP for questions.

C.9.1.2: Policies for Non-Exempt Human Subjects Research

The recipient, including any collaborating organization under a subaward, must:

- Hold or obtain an OHRP-approved FWA (45 CFR 46.103(a)).
- Certify to the agency, within the time frame specified, that the research has been reviewed and approved by an Institutional Review Board (IRB) designated in the FWA (45 CFR 46.103(d)).

The OHRP website contains a listing of those organizations with OHRP-approved assurances.

The agency must make sure an applicant and any collaborating organizations have the required assurance and certification in place, before:

- Making an award unless there is a specific condition in the NoA restricting expenditures for this purpose.
- You initiate human subjects research, and the agency removes any related NoA specific condition.
- Approving a post-award change in scope that will result in human subjects research. The specific award condition restricting human subjects research must indicate that:
    - You may not draw down funds, obligate or expend federal funds, or claim required cost sharing costs for research involving human subjects at any site engaged in research until you meet all requirements.
    - Failure to comply within the stated time may result in full or partial termination of the award.

The prohibition on expenditures may extend to the whole project if that activity can't be isolated.

C.9.2: Research Involving Animals and Their Welfare

Requirements for using live, vertebrate animals apply to all PHS agencies and other research-related awards. PHS agencies include AHRQ, CDC, FDA, HRSA, IHS, NIH, OASH, and SAMHSA. These requirements apply to recipients, subrecipients, and contractors, whether foreign or domestic.

The requirements:

- Are included in the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy).
- Incorporate the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training.
- Require the recipient to maintain an animal care and use program based on the Guide for the Care and Use of Laboratory Animals.

- Require compliance, as applicable, with the Animal Welfare Act and other federal statutes and regulations relating to animals.

You must establish appropriate policies and procedures to ensure the humane care and use of animals, and you are ultimately responsible for compliance with the PHS Policy.

You can get information about animal welfare topics from the Office of Laboratory Animal Welfare (OLAW), Office of Extramural Research, National Institutes of Health.

Before engaging in any HHS award-supported research using animals, applicants must:

- Have a current Animal Welfare Assurance approved by OLAW. The list of organizations with approved assurances is on the OLAW website for both domestic institutions and foreign institutions.
- Verify, as part of the application or before award, current Institutional Animal Care and Use Committee (IACUC) approval of the animal activities. PHS Policy requires that IACUC approval must have happened within three years of the period of performance start date for new or renewal awards and at least every three years after that.
- Comply with the agency's internal IACUC requirements if a cooperative agreement.

If you do not have a current Animal Welfare Assurance (or made alternative arrangements, like an inter-institutional assurance acceptable to OLAW) or have not provided the required verification by the time an award is to be made, the agency will notify the PO and the applicant. The agency may:

- Delay the award until the recipient and all performance sites are operating in accordance with approved Animal Welfare Assurances and the organization has provided verification of IACUC approval of those sections of the application that involve use of animals.
- Include a specific condition in the NoA restricting expenditures.

The award condition must state that:

- You may not draw down funds, obligate or expend federal funds, or claim required
- cost sharing costs for research involving animals at any site engaged in research until you meet all requirements.
- Failure to comply within the stated time may result in full or partial termination of the award.
- The prohibition on expenditures may extend to the whole project if that activity can't be isolated.

Before approving changes involving animal research after award, the agency needs to confirm that there's a proper Animal Welfare Assurance with OLAW. They also need verification from the IACUC.

C.9.2.1: Reporting

Reporting requirements under the PHS Policy include an annual report to OLAW describing:

- Any updates in your animal care program as mentioned in the Assurance.
- Changes in IACUC membership
- The dates when the IACUC reviewed your program and facilities.

Lastly, the IACUC must quickly report any serious issues or breaches in policies, guidelines, or any suspensions through the official who signed the Assurance.

C.9.2.2: Foreign Applicants

Foreign applicant organizations applying for awards for activities involving animals are required to comply with PHS Policy or provide evidence that acceptable standards for the humane care and use of animals will be met.

This includes providing OLAW with an Animal Welfare Assurance for Foreign Institutions, which includes:

- Institutional assurance and certification of compliance with the applicable laws, regulations, and policies of the jurisdiction in which the research will be conducted
- A commitment to follow the International Guiding Principles for Biomedical Research Involving Animals.

C.9.2.3: Awards to Individuals

No award to an individual will be made unless that individual is affiliated with an assured organization that accepts responsibility for compliance with the PHS animal welfare policy.

Appendix D: HHS Administrative and National Policy Requirements

D.1: HHS Administrative and National Policy Requirements

The awards process is governed by laws and policies – both federal government-wide and HHS- specific. Below are common general administrative and national policy requirements.

D.1.1: Sources of Laws and Policies

There are four general sources of laws and policies that may apply to awards. This Appendix focuses on federal government-wide and HHS-wide sources.

The first two sources are more fully explained in this Appendix:

- **Federal Government-Wide Sources.** The U.S. Constitution, statutes, regulations, executive orders, and statements of policy.
- **HHS-Wide Sources.** Statutes, regulations, statements of policy, and award terms and conditions.

You will find information about the next two sources in the terms and conditions of award, some of which may be mentioned in the NOFO:

- **Agency-Wide Sources.** Agencies may set policies for their awards through regulations, award terms and conditions, and other means.
- **Program-Wide Sources**. Individual funding programs may have their own specific policies. You may find these in the NOFO or the award terms and conditions. They may be based on the authorizing statute, implementing program regulations, or program guidance.

D.1.2: Locations of Laws and Policies

You can find laws and policies in a variety of places. This Appendix compiles many of the laws and policies that may apply to awards, but it is not intended to be an exhaustive list or to reproduce the full text. Readers are encouraged to review the original sources for more information.

Your award terms and conditions may incorporate specific statutes, regulations, or policies by reference. However, the GPS is a term and condition that applies to every discretionary award. The following two terms and conditions apply to all HHS awards.

- The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200) and HHS Requirements (2 CFR 300).
- In SAM.gov, you agree to the Financial Assistance General Certifications and Representations. All federal financial assistance awards must adhere to all federal laws, executive orders, regulations, and public policies governing financial assistance. A few of them are specifically mentioned in the Certifications and Representations in SAM.gov. This Appendix addresses those in the tables below. They are marked with “see the Financial Assistance General Certifications and Representations.”

D.1.3: Applicability of Laws and Policies

Many laws and policies apply to all HHS awards. But some apply only to awards with certain types of activities or recipients. For example, some may apply only to construction awards, conference awards, or research awards. Additionally, most apply to subrecipients. Some of the exceptions are noted in the tables below.

D.1.3.1: General Order of Precedence

The general order of precedence determines the order in which laws and policies may apply. The table includes examples of the types of laws and policies at each level; it is not an exhaustive list.

Level of Policy	Examples (Note: This list is not exhaustive.)
1. US Constitution	The foundation of all laws, rules, and policies.
2. Statutes	Program Authorizations and Appropriations Federal Grant and Cooperative Agreement Act of 1977 Federal Funding Accountability and Transparency Act (FFATA) of 2006 Digital Accountability and Transparency Act (DATA) of 2014 Grant Reporting Efficiency and Agreements Transparency (GREAT) Act of 2019
3. Regulations	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards: 2 CFR 200 (government-wide) and 2 CFR 300 (HHS-wide) 42 CFR and 45 CFR series regulations (Program-specific regulations)
4. Policies, Program Guidance, and Award-Specific Requirements	Executive Orders (applies to agencies and recipients to the extent incorporated into agency- and program-specific guidance) OMB Memos (applies to agencies and recipients to the extent incorporated to agency- and program-specific guidance) HHS Grants Policy Statement (GPS) HHS Grants Policy Administration Manual (GPAM) Agency-Specific Grants Policies (apply to agencies) Agency- and program-specific guidance related to one or more award programs such as Notices of Funding Opportunity (NOFO), FAQs, and other program announcements, e.g., agency guidance, manuals, “Dear Colleague” letters. For non-discretionary awards these might include state or Tribal plans, public assistance, or statewide cost allocation plans. Requirements specific to an individual award or class of awards, such as a requirement to perform activities described in the recipient’s application.

D.2: Uniform Administrative Requirements

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards (2 CFR 200) apply to all HHS awards, unless specifically exempted by 2 CFR 200.101(e) and (f).

While all of 2 CFR 200 and 300 apply to grants and cooperative agreements, following are some key requirements:

D.2.1: Subrecipients

The uniform requirements also address subrecipient responsibilities. See 2 CFR 200.101(b)-(c), 2 CFR 200.331-333.

Recipients and subrecipients must follow the award terms and conditions. In general, the primary recipient must:

- Apply terms and conditions to their subawards.
- Evaluate the risk of subawards and use specific conditions, if needed.
- Monitor subaward compliance.
- Verify that the subrecipient meets audit requirements.
- Remedy noncompliance.
- Ensure that their subrecipients have a Unique Entity Identifier and maintain a SAM.gov registration.

D.2.2: Termination

HHS may terminate awards under certain circumstances. See 2 CFR 200.340.

D.3: Financial Assistance General Certifications and Representations

When you registered in SAM.gov, your authorized organization representative agreed to the Financial Assistance General Certifications and Representations. These are binding on every award.

You can review these certifications and representations in Appendix I of the SAM.gov Entity Registration Checklist. You can find the checklist on SAM.gov Get Started with Registration and the Unique Entity ID page.

While the Financial Assistance General Certifications and Representations expressly identify certain requirements, they also require compliance with all applicable laws and policies. Those expressly identified are marked with “See General Certifications and Representations.”

See the General Certifications and Representations (Appendix E).

D.4: Laws and Policies

This section outlines various laws and policies that may apply to HHS awards (including recipients and subrecipients), but it is not intended to be an exhaustive list.

The following laws and policies apply to all recipients and subrecipients, with any exceptions noted within the guidance or notes.

D.4.1: Administrative and Activities

Laws and Policies	Source	Notes
Abortions Related to limitations on use of federal funds for abortions.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Sections 506 and 507	Agreed to in General Certifications and Representations (Appendix E).
Cybersecurity requirements Related to creating a cybersecurity plan.	M-24-03: Advancing Climate Resilience through Climate-Smart Infrastructure Investments and Implementation Guidance for the Disaster Resiliency Planning Act	See Supplemental Information (Appendix D.5) for more information. NIST Cybersecurity Framework
Debt Collection Related to how the federal government collects debt.	Statute: 31 USC 3701 Regulation: 31 CFR 285	
Health Information Technology Interoperability Related to conditions when implementing, acquiring, or upgrading health IT.	Health Information Technology for Economic and Clinical Health (HITECH) Act is Pub. L. No. 111-5, 123 Stat. 226 (Feb. 17, 2009)	See Supplemental Information (Appendix D.5) for more information.
Needle Exchange Related to prohibition on using award funds to give out sterile needles to inject illegal drugs, with some exceptions.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Sections 526	See General Certifications and Representations (Appendix E)
Publications and Acknowledgement of Support Related to recipients acknowledging HHS funding in public documents related to the awarded project.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 505	See Supplemental Information (Appendix D.5) for requirements and example.
Reporting Subaward and Executive Compensation Information Related to requirements to report certain information on subawards and executive salaries.	Statute: Federal Funding Accountability and Transparency Act of 2006 (FFATA), 31 USC 6101 note. Regulation: 2 CFR 170	See General Certifications and Representations (Appendix E)
Salary Rate Limitation – Federal Executive Level II. Related to restrictions to not use award funds to pay a salary over the Federal Executive Level II rate for that year.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title II, Section 202	For 2025, the amount is $225,700. See General Certifications and Representations (Appendix E)

SAM.gov and Universal Entity Identifier (UEI) Related to the requirement to register and maintain registration, including gaining a UEI.	Regulation: 2 CFR 25	See the award term at 2 2 CFR 25, Appendix A. See General Certifications and Representations (Appendix E)

Use of Logos Related to prior approval for using an HHS or agency logo.	Statute: 42 USC 1320b-10.	See Supplemental Information (Appendix D.5) for more.

D.4.2: Civil Rights and Other Protections

Laws and Policies	Source	Notes
Civil Rights Assurance of Compliance Related to requirements to certify compliance with civil rights laws.	Required by: Condition of Award; 45 CFR 80.4; 84.5; 86.4; 91.33; 92.4	See HHS Form 690, Assurance of Compliance and HHS Grant Policy Statement.
Copeland Anti-Kickback Act Related to requiring contractors to follow 29 CFR 3 under awards that include construction, alteration, and renovation and weekly compliance statements on the wages paid to each employee.	Statutes: 18 USC 874 and 40 USC 3145 Regulation: 48 CFR 22.403-2	Applies to awards with construction or alterations.
Davis-Bacon Wage Protections Related to using contractors that pay prevailing wages and benefits under awards funding construction, alteration, or repair.	Statute: 40 USC 3141, et seq.	Applies to awards with construction or alterations.
Discrimination Based on Age Related to protecting people from discrimination based on age.	Statutes: Age Discrimination Act of 1975, 42 USC 6101, et seq.; Section 1557 of the Affordable Care Act, 42 USC 18116 Regulations: 45 CFR 91	See General Certifications and Representations (Appendix E)
Discrimination Based on Disabilities Related to protecting people from discrimination based on a disability.	Statutes: Section 504 of the Rehabilitation Act, 29 USC 794; (for state and local government recipients; Section 1557 of the Affordable Care Act; 42 USC 18116 Regulations: 45 CFR 84; 45 CFR 92	See General Certifications and Representations (Appendix E)
Discrimination Based on Race, Color, and National Origin Related to protecting people from discrimination on the basis of race, color, or national origin.	Statutes: Title VI of the Civil Rights Act, 42 USC 2000d; Section 1557 of the Affordable Care Act; 42 USC 18116 Regulations: 45 CFR 80; 45 CFR 92	See General Certifications and Representations (Appendix E)

Laws and Policies	Source	Notes
Discrimination Based on Religion and Religious Conscience Related to protecting people from discrimination based on their religious beliefs.	Statutes: Church Amendments, 42 USC 300a-7; Coates-Snowe Amendment, 42 USC 238n; and the Weldon Amendment, Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 507(d)(1) Guidance: HHS Office for Civil Rights, Conscience and Religious Freedom for situations where this protection applies.	See General Certifications and Representations (Appendix E)
Discrimination Based on Sex Related to protecting people from discrimination based on sex.	Statutes: Title IX of the Education Amendments of 1972, as amended; 20 USC 1681 et seq.; Section 1557 of the Affordable Care Act, 42 USC 18116 Regulations: 45 CFR 86; 45 CFR 92 See other sex discrimination guidance and requirements at HHS Office for Civil Rights, Laws and Regulations Enforced by OCR. See also Sex-Based Harassment.	See General Certifications and Representations (Appendix E) (Title IX)
Drug-Free Workplace Related to maintaining a drug-free workplace and notifying the agency if an employee is convicted of violating a criminal drug law. Failure to follow these requirements may be cause for debarment.	Statute: Drug-Free Workplace Act, 41 USC 8101-8106 Regulation: 2 CFR 182, subpart B	See the award term at 2 CFR 382.400. See General Certifications and Representations (Appendix E)
Earthquake Hazards Reduction Related to requirements to use earthquake-resistant design when constructing new buildings.	Statute: 42 USC 7701, et seq. Directive: Executive Order 13717	Applies to new construction.
Fair Housing Related to protecting people from discrimination in housing.	Statute: Title VIII of the Civil Rights Act of 1968, 42 USC 3601, et seq.	See General Certifications and Representations (Appendix E)
Faith-Based Organizations Related to protections for faith-based organizations to apply and receive federal funds without discrimination or interference with their mission. Describes limitations on the use of federal funds.	Statute: 42 USC 2000bb, et seq. Directives: Executive Orders 13279, 13559, and 13831. Regulation: 28 CFR 38, appendix A and 45 CFR 87, appendix A	
Hotel and Motel Fire Safety Related to fire safety activities for hotels and motels used for venues.	Statute: 15 USC 2201, et seq	Applies to awards using hotels or motels as venues.

Laws and Policies	Source	Notes
Limited English Proficiency Related to steps to improve access to persons with limited English proficiency.	Required by: Title VI of the Civil Rights Act, 42 USC 2000d; Section 1557 of the Affordable Acre Act, 42 USC 18116 Regulations: 45 CFR 80; 45 CFR 92 Guidance: Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons	See also LEP.gov Does not apply to subcontractors.
Military Recruiting and Higher Education Related to limitations on funding institutions of higher education that do not allow Reserve Officer Training Corps (ROTC) on campus and allow military recruiting on campus.	Statute: 10 USC 983	Applies to subrecipients where HHS must approve them. Does not apply to subcontractors.
Pro-Children Act – Non-Smoking Related to prohibiting smoking in indoor facilities where award-funded projects serve children. Not following this law can bring civil monetary penalties.	Statute: Pro-Children Act of 2001, 20 USC 7181 through 7184	
Privacy Act Related to protecting information about a person, unless the person gives permission or under the exceptions at 5 USC 552a(b).	Statute: 5 USC 552a	
Seat Belts Related to encouragement to adopt and enforce seat belt policies.	Directive: Executive Order 13043	Does not apply to subrecipients or subcontractors.
Texting While Driving Related to limitations on texting while driving when federal funds pay for vehicles or cell phones.	Directive: Executive Order 13513	Does not apply to subcontractors.
Trafficking Victims Protection Related to bans providing funds to organizations involved in human trafficking.	Statute: Trafficking Victims Protection Act (TVPA) of 2000, as amended, 22 USC 7104(g). Regulation: 2 CFR 175, Award Term for Trafficking in Persons.	See General Certifications and Representations (Appendix E)
Whistleblower Protections Related to protecting employees from reprisal for disclosing information about violations.	Statute: Protection from Reprisal of Disclosure of Certain Information, 41 USC 4712.	See General Certifications and Representations (Appendix E)

D.4.3: Environmental

Laws and Policies	Source	Notes
Clean Air and Water Related to the requirement to follow certain environmental laws.	Statute: Clean Air Act of 1970, 42 USC 7401 et seq. Statute: Clean Water Act of 1972, 33 USC 1251 et seq.	See Summary of the Clean Air Act. See Summary of the Clean Water Act.
Climate Resiliency and Energy and Emission Reductions Relating to the purchase or construction of real property and major renovation projects.		Additional Guidance to Advance Climate Resilience and Reduce Energy and Emission See more in Supplemental Information (Appendix D.5)
Earthquake Hazards Reduction Related to using earthquake-resistant design when constructing new buildings.	Statute: 42 USC 7701, et seq. Directive: Executive Order 13717	Applies to new construction.
Flood Insurance Related to requirements for flood insurance in areas with special flood hazards.	Statute: 42 USC 4001, et seq.	Applies to awards that acquire or construct buildings. Does not apply to subrecipient or subcontractors.
National Environmental Policy Act Related to policies to conduct reviews to assess and mitigate environmental impact.	Statute: National Environmental Policy Act of 1969, as amended, 42 USC 4321 et seq. Guidance: HHS General Administration Manual (GAM), Part 30-50, National Environmental Policy Act Review for the NEPA process.	Applies to construction or major renovation activities. Does not apply to subcontractors. See more in Supplemental Information (Appendix D.5) See General Certifications and Representations (Appendix E)
National Historic Preservation Act (NHPA) Related to requirements to consider the effect of potential awards on historic properties.	Statute: National Historic Preservation Act (NHPA) of 1996, as amended, 54 USC 300101 et seq. Regulation: 36 CFR 800	Applies to awards buying, constructing, or altering real property. See resources and a summary of the process in Supplemental Information (Appendix D.5).
Resource Conservation and Recovery Relating to requirements to give preference to the purchase of recycled products.	Statute: 42 USC 6962 Regulation: 40 CFR 247 (See list of relevant recycled products at 40 CFR 247, subpart B.)	Applies to state and local institutions of higher education, hospitals, and non-profit organizations.

Safe Drinking Water Act Related to ensuring that public water systems provide safe and reliable drinking water.	Statute: 42 USC 300f, et seq. Regulation: 40 CFR 141	Applies to public water systems.

Laws and Policies	Source	Notes
Uniform Relocation Assistance Related to real estate activities that may displace people.	Statute: 42 USC 4601 et seq. Regulation: 45 CFR 15 and 49 CFR 24	Does not apply to subcontractors.
Wetland Protection Related to requirements to protect wetlands.	Directives: Executive Orders 11988 and 11990 Regulation: 18 CFR 725	

D.4.4: Lobbying, Advocacy, & Political Activity

Laws and Policies	Source	Notes
Anti-Lobbying, Publicity, and Propaganda Related to restrictions against lobbying, publicity, or propaganda using federal funds. Applicants must certify their compliance.	Statutes: Further Consolidated Appropriations Act, 2024, Division B, Title VII, Section 715, 718, and 731; Consolidated Appropriations Act, 2024, Division E, Title IV, Section 401; Further Consolidated Appropriations Act, 2024, Division D, Title V, Sections 503, 505, and 522 Regulation: 2 CFR 200.450	
Controlled Substances Related to restrictions on activities that promote the legalization of any drug or other substance.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 509	See General Certifications and Representations (Appendix E)
Gun Control Related to requirements about not using federal funds to advocate for or promote gun control.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title II, Section 210; Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 503(c)	See General Certifications and Representations (Appendix E)
Hatch Act Related to restrictions on political activity and running for public office.	Statute: 5 USC 1502 (For exceptions see 5 USC 1501) Regulation: 5 CFR 151	Does not apply to subcontractors.
Lobbying Disclosure Act of 1995 Related to requirements to disclose lobbying activities.	Statute: 2 USC 1601 et seq	You can find the Disclosure of Lobbying Activities (SF-LLL) at Grants.gov/Forms. See General Certifications and Representations (Appendix E)

D.4.5: Patents, Inventions, and Data

Laws and Policies	Source	Notes
Federal government rights Related to the federal government's rights to use inventions.	Statute: 35 USC 202-203 Regulation: 37 part 401	Applies to research projects with inventions.

Laws and Policies	Source	Notes
Federal Information Security Management Act (FISMA) Related to policies when recipients collect, store, process or send data on behalf of HHS.	44 USC 3551 et seq.	
Retaining Rights Related to the rights to new inventions developed from funded research.	Statute: Bayh-Dole Act of 1980, 35 USC 200 et seq. and the related EO 12591	Applies to research projects with inventions.

D.4.6: Procurement

Laws and Policies	Source	Notes
American-Manufactured Goods Related to required preferences for certain products and materials made in the US. Waivers may be possible.	Statute: Buy American Act, 41 USC 8301 et seq, Statute: Build America, Buy America Act, Public Law 117–58, Title IX, Subtitle A Regulations: 2 CFR 184 (BABA) and 48 CFR 25 (Buy American Act) Guidance: M-22-11 and M-24-02	
Fly America Act Related to requirements for travelers to use certified U.S. airlines for award-funded air travel.	Statute: 49 USC 40118 Regulation: 41 CFR 301-10.131 - 143	
Prohibition on certain telecommunications and video surveillance services or equipment Related to restrictions on using federal funds for telecommunications equipment produced by certain companies.	Statute: 41 USC 3901 et seq Regulation: 2 CFR 200.216	
U.S. Flag Vessels Related to using U.S. owned and operated vessels to ship goods and supplies bought with award funds.	Statute: 46 USC 55305 Regulation: 46 CFR part 381.7	

D.4.7: Professional Integrity

Laws and Policies	Source	Notes
Blocking Access to Pornography Related to requirements for computer systems to not allow people to view, download, or exchange pornography. The only exclusion is for law enforcement functions.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 520	See General Certifications and Representations (Appendix E)

Laws and Policies	Source	Notes
Civil Actions for False Claims Act Related to the federal government's ability to take civil actions on violations of the false claims act.	Statute: 31 USC 3730	See General Certifications and Representations (Appendix E)
Debarment and Suspension Related to not providing federal funds to excluded parties.	Regulation: 2 CFR 180	Does not apply to subcontractors unless the contract is over $25,000. See General Certifications and Representations (Appendix E)
False Claims Act Related to liability on persons and companies who defraud government programs	Statutes: 31 USC 3729, 18 USC 287, and 18 USC 1001	See General Certifications and Representations (Appendix E)
False or Misleading Information Related to requirements to not use federal funds to share deliberately false or misleading information.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 515(b)	See General Certifications and Representations (Appendix E)
Mandatory Disclosure Related to requirements to disclose certain violations of federal criminal law.	Statute: 41 USC 2313 Regulation: 2 CFR 200.113 and 2 CFR 200 Appendix XII	
Program Fraud and Civil Remedies Act Related to administrative hearings for certain false claims actions.	Statute: 31 USC 3801 et seq	See General Certifications and Representations (Appendix E)
Recent Felony Convictions Related to eligibility for awards for corporations with felony criminal convictions in the past 24 months.	Statute: Further Consolidated Appropriations Act, 2024, Division B, Title VII, Section 745	See General Certifications and Representations (Appendix E)
Recipient Integrity and Performance Related to information reported to SAM.gov Responsibility/Qualification.	Regulation: 2 CFR 200.211(c)(1)(iii) and 2 CFR 200 Appendix XII	

Unpaid Federal Tax Liability Related to eligibility corporations with an unpaid tax liability, with some conditions.	Statute: Further Consolidated Appropriations Act, 2024, Division B, Title VII, Section 744	See General Certifications and Representations (Appendix E) Does not apply to subrecipients or subcontractors.

D.4.8: Research Awards

Laws and Policies	Source	Notes
Animal Welfare Related to requirements when live animals are involved in award-funded programs and	Statutes: 7 USC 2131-2159 and 42 USC 289d Regulation: 9 CFR subchapter A Policy: PHS Policy for the Humane Care and Use of Laboratory Animals	See Supplemental Information (Appendix D.5)

Laws and Policies	Source	Notes
Certificates of Confidentiality Related to protecting subjects from compelled disclosure of identifying information and addressing voluntary disclosure.	Statute: 42 USC 241(d)	
Clinical Investigations of FDA-Regulated Products Related to clinical investigations regulated by FDA.	Statutes: 21 USC 355(i), 360b(j), and 360j(g). Regulations: 21 CFR 50, 54, 56, 21 312, 511, and 812.	Applies to clinical investigations regulated by FDA.
Cloning Related to ban on cloning human beings.	Directive: Cloning of Human Beings Ban (Presidential memorandum, March 4, 1997)	
Confidentiality: Substance Use Disorder Patient Records Related to requirements for substance use disorder patient confidentiality.	Statute: 42 USC 290dd-2	
Federal Technology Transfer Related to access to federal government laboratories by non-federal organizations	Statute: 15 USC 3701 et seq	
Financial Conflicts of Interest Related to a process to identify and address financial conflicts.	Regulation: 42 CFR 50, Subpart F	Applies to research awards. Does not apply to subcontracts, Phase I of the SBIR/STTR programs, and federal institutions.

HIPAA Related to the Privacy Rule standards that address the use and disclosure of individuals' health information (known as "protected health information") by entities subject to the Privacy Rule.	Statute: Health Insurance Portability and Accountability Act P.L.104-191	Applies to HIPAA covered entities.
Human Embryos Related to policies for the destruction or creation of human embryos.	Statute: Further Consolidated Appropriations Act, 2024, Division D, Title V, Section 508(a)	See General Certifications and Representations (Appendix E)
Human Subjects Protection Related to requirements for research involving human subjects.	Statutes: 42 US. 289 and 42 USC 300v-1(b) Regulation: 45 CFR 46	See Supplemental Information (Appendix D.5)
Recombinant DNA and Human Gene Transfer Related to NIH guidelines for such research.	Guidance: NIH Guidelines	

Laws and Policies	Source	Notes
Research Involving Potential Procurement of Synthetic DNA and RNA Related to scientific research awards that have the potential to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment.	EO 14110 Section 4.4(b) (referencing The Office of Science and Technology Policy (OSTP) Framework for Nucleic Acid Synthesis Screening)	See Supplemental Information (Appendix D.5)
Research Misconduct Related to Public Health Service Policies on Research Misconduct	Regulation: 42 CFR 93	
Research on Human Fetal Tissue Related to the use of human fetal tissue in research.	Statute: 42 USC 289g-1 and g-2 Regulation: 45 CFR 46.206	

D.4.9: Other

Laws and Policies	Source	Notes
Freedom of Information Act (FOIA) FOIA establishes a 'strong presumption in favor of disclosure of requested information.	Statute: 5 USC 552	
Intergovernmental Personnel Act Provides for the temporary assignment of personnel between the federal government and state and local governments, colleges and universities, Indian tribal governments, federally funded research and development centers, and other eligible organizations	Statute: 5 USC 3371 et seq Regulation: 5 CFR part 334	
Paperwork Reduction Act Minimizes the paperwork burden resulting from the collection of information by or for the federal government	Statute: 44 USC 3501, et seq	
Public Health Security and Bioterrorism Requires the biennial review and republication of the HHS list of select agents and toxins.	Statute: 42 USC 262a	
Standards of Conduct To assure HHS is conducted effectively, objectively, and without improper influence or the appearance of improper influence, sets standards for employees and special Government employees	Regulation: 45 CFR 73	

D.5: Supplemental Information

D.5.1: Administrative and Activities

D.5.1.1: Cybersecurity requirements

You must create a cybersecurity plan if your project involves both of the following conditions:

- You have ongoing access to HHS information or technology systems.
- You handle personal identifiable information (PII) or personal health information (PHI) from HHS.

You must base the plan on the NIST Cybersecurity Framework. Your plan should include the following steps:

Identify:

- List all assets and accounts with access to HHS systems or PII/PHI.

Protect:

- Limit access to only those who need it for award activities.
- Ensure all staff complete annual cybersecurity and privacy training. Free training is available at 405(d): Knowledge on Demand (hhs.gov).
- Use multi-factor authentication for all users accessing HHS systems.
- Regularly backup and test sensitive data.

Detect:

- Install antivirus or anti-malware software on all devices connected to HHS systems.

Respond:

- Create an incident response plan. See Incident-Response-Plan-Basics_508c.pdf (cisa.gov) for guidance.
- Have procedures to report cybersecurity incidents to HHS within 48 hours. A cybersecurity incident is:
    - Any unplanned interruption or reduction of quality, or
    - An event that could actually or potentially jeopardize confidentiality, integrity, or availability of the system and its information.

Recover:

- Investigate and fix security gaps after any incident.

D.5.1.2: Health information technology interoperability

Pursuant to the HITECH Act and HHS policy, if you receive an award, you must agree to the following conditions when implementing, acquiring, or upgrading health IT and the required standards support a related activity. These conditions also apply to all subrecipients.

- For activities by all recipients. Use only health IT that meets the standards and specifications in 45 CFR 170, subpart B.
- For activities by eligible clinicians in ambulatory settings or hospitals. Use only health IT certified by the ONC Health IT Certification Program for activities by eligible clinicians under Sections 4101, 4102, and 4201 of the HITECH Act.

If 45 CFR 170, subpart B standards cannot apply to the activity, we encourage you to:

- Use health IT that meets non-proprietary standards.
- Follow specifications from consensus-based standards development organizations.
- Consider standards identified in the ONC Interoperability Standards Advisory.

D.5.1.3: Use of Logos

Recipients must have prior written approval from the GMO before using an HHS or agency logo. Using a logo without approval may lead to a financial penalty.

D.5.1.4: Publications and Acknowledgement of Support

Recipients must acknowledge HHS funding in public documents related to the awarded project. Acknowledgements must include:

- Name of agency and HHS
- Amount of federal funding
- Percentage of federal funding to total costs
- Disclaimer of HHS endorsement or agreement. Example of statement for public documents:

The [agency], Department of Health and Human Services provided financial support for this [project / publication / website / etc.]. The award provided XX% of total costs and totaled $XX. The contents are those of the author. They may not reflect the policies of the Department of Health and Human Services or the U.S. government.

Contact the GMO if you need to revise the contents of the acknowledgement statement. Also contact the GMO to coordinate all media releases.

Recipients must include this statement in materials for funded conferences:

“The [Agency] made this conference possible [in part] through [award number]. Views expressed by speakers, moderators, and in writing may not reflect the policies of the Department of Health and Human Services. Mentions of trade names, commercial practices, or organizations do not imply endorsement by the U.S. Government.”

D.1.5.5: National Environmental Protection Act

To comply with NEPA for its award-supported activities, HHS must review the environmental aspects of awards that include construction or major renovation activities before award, unless a specific condition is placed on the award. If, because of a post-award change, an agency determines NEPA applies to an award, the NEPA process must be satisfactorily completed before drawdown of funds for the activity. Consult the agency’s NEPA contact for specific information on what must be addressed.

D.1.5.6: National Historic Preservation Act (NHPA)

If the recipient takes actions on real property that are not in compliance with historic preservation requirements, the agency may have a basis to take an enforcement action and recoup some or all its funding.

For questions on NHPA, contact Real Property Policy and Strategy, Program Support Center (PSC), Assistant Secretary for Administration (ASA).

The HHS implementation process is detailed in Chapter 9 of the HHS Facilities Program Manual.

The table below summarizes the process used to determine if a proposed activity will have any effects on historic properties. It provides a general outline of the NHPA section 106 process, but not all details.

Therefore, this attachment must be used with, not instead of, the NHPA requirements.

Activity	Guidance
1. Determine if any portion of the project may include activities that affect an historic property. Such activities typically include acquisition, construction, or alteration of real property. Note: The applicant is primarily responsible for this determination. If the agency has concerns about the applicant's determination, they will address them with the applicant and consult the State Historic Preservation Office (SHPO) or Tribal Historic Preservation Office (THPO), as applicable.	If the answer is "yes," then continue with the process. If the answer is "no," then the process may stop.
2. Identify the appropriate SHPO or THPO with jurisdiction in the area where the project will be performed.	Find an SHPO. Find a THPO.
3. In consultation with the SHPO or THPO, identify whether any National Register historic properties (or those eligible for inclusion) are within the project's Area of Potential Effect (APE). The APE can include areas outside of the project's boundaries. For example, constructing a building may not affect an historic resource on the property itself, but may affect the view or setting of a nearby historic resource.	If the answer is "yes," then continue with the process. If the answer is "no," and the SHPO or THPO agrees, then the process may stop.
4. Determine if the undertaking will result in any adverse effects on an historic property.	If the answer is "yes," then continue with the process. If the answer is "no," and the SHPO or THPO agrees, then the process may stop.
5: Consult with SHPO or THPO and other appropriate parties to develop measures that mitigate adverse effects on historic properties. The consultation may result in a Memorandum of Agreement (MOA), signed by each party, which outlines each party's responsibilities for implementing the mitigation measures.	If the parties sign an MOA, the agency must ensure that the undertaking is carried out in accordance with the MOA. If the parties cannot agree and do not execute an MOA, then proceed to Activity 6.
6. Any party terminating consultation shall notify the other parties in writing. 36 CFR 800.7 outlines the procedures to follow, depending on which party terminates the consultation.	If there is a failure to reach resolution, the agency head may decide to approve proceeding with the undertaking after following the applicable requirements of 36 CFR 800.

D.5.2: Research Awards

D.5.2.1: Human Subjects in Research

The regulations for the protection of human subjects in 45 CFR 46, Basic HHS Policy for Protection of Human Subjects (Subpart A of which is also known as the Common Rule) implement Section 491(a) of the Public Health Service (PHS) Act. The regulation applies to all HHS awards involving human subjects research.

The Office for Human Research Protections (OHRP), Office of the Assistant Secretary for Health, is the office with HHS-wide responsibility for research involving human subjects under this policy. Foreign applicant organizations applying for awards for research involving human subjects are required to comply with 45 CFR 46. There is a single version of the Federal- wide Assurance (FWA) form and Terms of Assurance for domestic (U.S.) and international (non- U.S.) institutions.

All NOFOs must clearly state the parameters of human subject use, and indicate the necessary information and assurances required from the applicant prior to the issuance of award.

Recipients, whether domestic or international, must safeguard the rights and welfare of human subjects in HHS-conducted or -supported activities (45 CFR 46.101(a) and 45 CFR 46.103(a)).

As a matter of grants policy, recipients must ensure that subrecipients follow these requirements, as applicable. Recipients must facilitate the process for obtaining prior approval for subrecipients if not approved in the award.

Some human subject research is exempt from the requirements of the HHS regulations. The categories of research that qualify for exemption are found at 45 CFR 46.104(d)(1)-(8). OHRP guidance recommends that investigators not be given the authority to make an independent determination that human subjects research is exempt. HHS retains final authority as to whether a particular research study supported by HHS is exempt from the HHS regulations.

Contact OHRP for any related questions.

OHRP is the only component of HHS with the delegated authority to interpret and enforce the regulatory requirements in 45 CFR 46.101(c) as to whether a particular activity is regulated by 45 CFR 46.

Before engaging in HHS award-supported non-exempt human subjects research, the recipient, including any collaborating organization under a subaward, must:

- Hold or obtain an OHRP-approved FWA (45 CFR 46.103(a)); and
- Certify to the agency, within the time frame specified, that the research has been reviewed and approved by an Institutional Review Board (IRB) designated in the FWA (45 CFR 46.103(d))

The OHRP web site contains a listing of those organizations with OHRP-approved assurances.

The agency must make sure that an applicant and any collaborating organizations have the required assurance and certification in place, before:

- Making an award, unless a specific condition is included in the NoA restricting expenditures for this purpose.
- Non-exempt human subjects research is initiated, if non-exempt research is planned but will not occur until a subsequent phase of the project, by including a specific condition in the NoA that restricts expenditures for this purpose; or

- Approving a post-award change in scope that will result in non-exempt human subjects research.

The award condition must indicate that the recipient may not draw down funds, obligate or expend federal funds, or claim required cost sharing costs for research involving human subjects at any site engaged in non-exempt research until all requirements for are met. The prohibition on expenditures may extend to the whole project if that activity is not severable. The recipient must be advised that failure to comply within the stated time may result in full or partial termination of the award.

D.5.2.2: Research Involving Animals and Their Welfare

Pursuant to 42 U.S.C. 289d (Section 495 of the Public Health Service Act), requirements related to the use of live, vertebrate animals apply to all PHS agencies and to other research-related awards. PHS agencies include AHRQ, CDC, FDA, HRSA, IHS, NIH, and SAMHSA. These requirements apply to recipients, subrecipients, and contractors, whether foreign or domestic.

The requirements:

- Are included in the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy),
- Incorporate the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training,
- Require the recipient to maintain an animal care and use program based on the Guide for the Care and Use of Laboratory Animals; and
- Require compliance, as applicable, with the Animal Welfare Act and other federal statutes and regulations relating to animals.

Recipients must establish appropriate policies and procedures to ensure the humane care and use of animals and are ultimately responsible for compliance with the PHS Policy. Information about animal welfare topics is available from the Office of Laboratory Animal Welfare (OLAW), Office of Extramural Research, National Institutes of Health.

Before engaging in any HHS award-supported research using animals, applicants must:

- Have a current Animal Welfare Assurance approved by OLAW (the list of organizations with approved assurances is available at the OLAW website for both domestic institutions and foreign institutions;
- Provide, as part of the application or just-in-time, verification of current Institutional Animal Care and Use Committee (IACUC) approval of the animal activities. (PHS Policy requires that IACUC approval must have occurred within three years of the period of performance start date for new or renewal awards and at least every three years after that); and
- Comply with the agency's internal IACUC requirements if a cooperative agreement.

Reporting requirements under the PHS Policy include an annual report to OLAW describing any change in the institution's program for animal care and use as described in the Assurance, changes in IACUC membership, and the dates the IACUC conducted its semiannual evaluations of the institution's program and facilities.

Foreign applicant organizations applying for awards for activities involving animals are required to comply with PHS Policy or provide evidence that acceptable standards for the humane care and use of animals will be met. This includes providing OLAW with an Animal Welfare Assurance for Foreign Institutions, which constitutes institutional assurance and certification of compliance with the applicable laws, regulations, and policies of the jurisdiction in which the research will be conducted, and a commitment to follow the International Guiding Principles for Biomedical Research Involving Animals.

No award to an individual will be made unless that individual is affiliated with an assured organization that accepts responsibility for compliance with the PHS Policy.

If the applicant does not have a current Animal Welfare Assurance (or made alternative arrangements, e.g., an inter-institutional assurance acceptable to OLAW) or has not provided the required verification by the time an award will be made, the agency will notify the PO and the applicant and the agency may:

- Delay the award until the recipient and all performance sites are operating in accordance with approved Animal Welfare Assurances and the organization has provided verification of IACUC approval of those sections of the application that involve use of animals; or
- Include a specific condition in the NoA restricting expenditures.

The award condition must prohibit drawdown or expenditure of funds under the award (whether federal funds or any required cost sharing) until the requirements have been met. The prohibition on expenditures may extend to the whole project if that activity is not severable. The recipient must be advised that failure to comply within the stated time may result in full or partial termination of the award.

An agency may not approve a post-award change that will result in research involving animals unless the agency determines that an appropriate Animal Welfare Assurance has been negotiated with OLAW and the required IACUC verification has been received.

Reporting requirements under the PHS Policy include an annual report to OLAW describing any change in the institution's program for animal care and use as described in the Assurance, changes in IACUC membership, and the dates the IACUC conducted its semiannual evaluations of the institution's program and facilities. The IACUC, through the institutional official signing the Assurance, must promptly report any serious or continuing noncompliance with the PHS Policy, serious deviations from the *Guide for the Care and Use of Laboratory Animals*, and any IACUCs.

D.5.2.3: Research Involving Potential Procurement of Synthetic DNA and RNA

Pursuant to EO 14110 Section 4.4(b), beginning April 26, 2025, all scientific research awards that have the potential to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment need to have a condition that requires recipients to adhere to and use HHS funds to procure these materials from sources adhering to the Office of Science and Technology Policy (OSTP) Framework for Nucleic Acid Synthesis Screening. This includes, but is not limited to, research with the potential to procure synthetic DNA and RNA, as well as whole organism genomes (e.g., viruses, bacteria) containing any synthetic nucleic acid 200 nucleotides or greater, and benchtop equipment capable of synthesizing nucleic acids. Please see the OSTP Framework for Nucleic Acid Synthesis Screening for additional guidance and definitions of terms. The requirement to use the framework applies to all work performed under the

award.

Appendix E: Financial Assistance General Certifications and Representations

In almost all instances, applicants must have a SAM.gov registration. Agreement to a list of general certifications and representations is required for registration.

Please go to the following page to see updated Certifications and Representations:

https://www.hhs.gov/sites/default/files/financial-assistance-general-certification-representations.pdf

Outlook

FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

From Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>
Date Fri 2025-03-28 15:57
To Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>; Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>; Branscomb, Jacquelyn (ACF) <Jacquelyn.Branscomb@ACF.hhs.gov>
Cc Davis Caldwell, Janice (ACF) <janice.caldwell@acf.hhs.gov>; Code, Karen (ACF) <Karen.Code@ACF.hhs.gov>; Dorr, Andrew (ACF) <Andrew.Dorr@acf.hhs.gov>; Mella, Emily (ACF) <Emily.Mella@acf.hhs.gov>

1 attachment (311 KB)
Title IX Defending Women AT 2025-01 signed.pdf;

From: Bell, Dale (HHS/ASFR)
Sent: Friday, March 28, 2025 3:56 PM
To: OS - OG CGMO
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Chief Grants Management Officers,

The attached Action Transmittal requires you to add a new term and condition language in Notice of Awards (NoAs) for new awards for entities participating in, facilitating, or funding programs implicating Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq. Programs that could implicate Title IX include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-01

Issuance Date: March 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.03.28 15:39:45 -04'00'

SUBJECT: Department of Health and Human Services Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Executive Order 14168 Legal Requirements for Title IX Implicated Recipients of Federal Financial Assistance

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

It is the policy of the United States to recognize two sexes, male and female. This policy is reflected in Executive Order 14168 entitled Defending Women From Gender Ideology Extremism and Restoring Biological Truth in the Federal Government (January 20, 2025). It is also reflected in sex-protective laws found at Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq.

HHS is requiring awarding agencies to ensure financial assistance recipients are compliant with the requirements of these laws and Executive Order 14168.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

For all new awards, HHS awarding agencies must insert the below HHS-approved language in Notices of Award (NoAs) to entities that participate in, facilitate, or fund programs that implicate Title IX. Programs that could implicate Title IX would include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Required Notice of Award Term and Condition Language

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

From:	Abney, Latasha (ACF)
To:	ACF Deputies Group; ACF - OGM Management Team; ACF ALL OGM Grants Management Officers
Cc:	Chamberlain, Brenda (ACF); Killian, Kathy (ACF); Leo, Elizabeth (Beth) (ACF); Shields, Karen (ACF); Fisher, Alexis (ACF); James, Aleisha (ACF); Williams, Serena L. (ACF); Villamor, Monique (ACF); Petruccelli, Anthony J. (ACF); Abney, Latasha (ACF); Polich, Jeffrey (HHS/OGC)
Subject:	INFO ONLY: OGP ANNOUNCEMENT: Updated HHS Grants Policy Statement - Effective April 16, 2025
Date:	Thursday, April 17, 2025 4:03:43 PM
Attachments:	Action Transmittal_GPS Update 2025-02.pdf

INFO ONLY

Office of Administration (OA)
Office of Grants Policy (OGP)

OGP ANNOUNCEMENT

Updated HHS Grants Policy Statement, Effective April 16, 2025

SUMMARY: On April 16, 2025, HHS issued Action Transmittal (OG AT 2025-02) – attached for reference (**internally facing only**), informing HHS awarding agencies that the HHS Grants Policy Statement (GPS) has been updated to include a new term of award in the section titled "Civil Rights Assurance" (*pages 18-19*) effective immediately on all **new** discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

The new term of award requires recipients to comply with all applicable Federal anti-discrimination laws "*material to the government's payment decisions for purposes of 31 U.S.C. § 372[9](b)(4)*." Further, this new term emphasizes that by accepting an award, recipients will not, throughout the period of performance of an award, "*operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws"* and "*not engage in…a discriminatory prohibited boycott.*"

The updated GPS is on the HHS website: Grants Policies & Regulations. The effective date for this GPS is April 16, 2025.

For Immediate Action:
Effectively immediately, Program Offices (POs) and the Office of Grants Management (OGM) must update any links to the GPS in external and internal documents as soon as possible.

OGP is in the process of updating the *ACF Standard Terms and Conditions* (located on the Awards T&C page) with the new term.

CONTACT: Questions may be sent to: Latasha Abney, Latasha.Abney@acf.hhs.gov, and Beth Leo, Elizabeth.Leo@acf.hhs.gov.

Thank you,

Latasha N. Abney
Director
Office of Grants Policy
Administration for Children and Families
U.S. Dept. of Health and Human Services

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> > *(a) DEI means "diversity, equity, and inclusion."*
> >
> > *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
> >
> > *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
> >
> > *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
> >
> > *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
> >
> > *(2) Grant award certification.*
> >
> > > *(a) By accepting the grant award, recipients are certifying that:*
> > >
> > > > *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
> > > >
> > > > *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
> >
> > *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

ADMINISTRATION FOR CHILDREN & FAMILIES

Federal Fiscal Year 2025

STANDARD TERMS AND CONDITIONS

Except as noted otherwise, these Terms and Conditions (T&Cs) apply to Federal financial assistance awards, i.e., grant and cooperative agreement programs, administered by the Administration for Children and Families (ACF). Please see the Award Terms and Conditions page.

Precedence

Applicable statutory or regulatory provisions supersede conflicting or inconsistent provisions in this Standard T&C.

Department of Health and Human Services (HHS) to Adopt 2 CFR Part 200 in Phases

Per Federal Register (FR), 89 FR 80055, HHS describes the intended phases of formally adopting 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (UAR) as modified by Office of Management and Budget (OMB), 89 FR 30136, April 22, 2024). As a result, the content herein will identify both 45 CFR Part 75 and respectively, by effective date, 2 CFR Part 200 and 2 CFR Part 300 HHS-specific regulations.

Effective 10/1/2024 – Increasing Thresholds / Flexibilities for Recipients in 45 CFR Part 75 (to align with similar provisions in 2 CFR 200)

Provisions (Regulations)	**Before 10/1/2024** Threshold under 45 CFR Part 75	**On and After 10/1/2024** New Threshold
Modified Total Direct Cost Definition (45 CFR §75.2 / 2 CFR §200.1)	$25,000	$50,000
Equipment (45 CFR §75.320(e) / 2 CFR §§200.1, 200.313(e), 200.439(b)(2))	$5,000	$10,000
Unused Supplies (45 CFR §75.321(a) / 2 CFR §§200.1, 200.314(a))	$5,000	$10,000
Micro-purchase Threshold[1] (45 CFR §75.329(a) / 2 CFR §200.320)	$10,000	$50,000
Fixed Amount Awards Subawards (45 CFR §75.353 / 2 CFR §200.333)	$250,000	$500,000

[1] This provision was adopted on December 12, 2017 under Public Law 115-91 and OMB Memorandum 18-18.

Effective May 9, 2025, for awards and funded modifications made on or after this date.

Provisions (Regulations)	**Before 10/1/2024** Threshold under 45 CFR Part 75	**On and After 10/1/2024** New Threshold
Closeout[2] (45 CFR §75.381 / 2 CFR §200.344)	90 days	120 days
De Minimis Indirect Rate[3] (45 CFR §75.414(f) / 2 CFR §200.414(f))	10%	15%
Single Audit (45 CFR §75.501 / 2 CFR §200.501)	$750,000	$1,000,000

Effective 10/1/2025 – 2 CFR 200 and HHS Specific Modifications Implementation

- Adopt 2 CFR Part 200.
- Repeal 45 CFR Part 75 in its entirety and update existing citations in HHS regulations.
- Relocate HHS-specific modifications from 45 CFR Part 75 to 2 CFR Part 300:

Modification	**Before 10/1/2025** 45 CFR Part 75	**On and After 10/1/2025** 2 CFR Part 300
Adoption of 2 CFR Part 200	75.106	300.106
Conflict of Interest	75.112	300.112
Special Provisions for awards to For-Profit Organizations as Recipients	75.216	300.218
Special Provisions for awards to Federal agencies	75.217	300.219
Non-discrimination language	75.300	300.300
Federal Payment	75.305(a)	300.305
Revision of budget and program plans (specific to research care cost prior approval	75.308(c)(1)(ix)	300.308
Intangible Property (patents and inventions)	75.307(c)(2)	300.315
Indirect Cost (Training and Foreign cap and allowing rates for American U, Beirut, and WHO)	75.414(c)(1)	300.414
Independent research and development costs	75.476	300.477
Shared responsibility payments	75.477	300.478
Cost Principles for Research & Development Grant Activities with Hospitals	Appendix IX	Appendix IX

Federal Financial Assistance Award Acceptance

State, local, tribal and other laws and regulations may apply and affect expenditures of Federal funds provided that they conform to applicable federal statutes and regulations. The first draw down or request for award funds from HHS Division of Payment Management Services (PMS) constitutes acceptance of the T&Cs under the Federal award.

[2] This provision was adopted on September 15, 2023 under 88 FR 63591.

[3] Note this does not apply to HHS Training or Foreign awards, for which HHS retains the de minimis cap at 8%.

A Federal assistance award is subject to T&Cs set forth in the award, these standard T&Cs, and those T&Cs cited and incorporated by reference. A recipient is the entity that receives a Federal award directly from ACF, per 45 CFR §75.2 (effective 10/1/2025: 2 CFR §200.1). By acceptance of an award, the recipient agrees to comply with these T&Cs. Unless indicated otherwise, per 45 CFR §75.101(b)(1) (effective 10/1/2025: 2 CFR §200.101(b)(2)), the T&Cs of Federal awards flow down to subrecipients and to contractors (when applicable) as described in 45 CFR §§75.351 – 75.353 (effective 10/1/2024: 2 CFR §200.333; effective 10/1/2025: 2 CFR §200.331 – 200.332).

Recipients must comply with all T&Cs of their awards, including:

a) The T&Cs in effect at the time of the award, including the requirements of applicable HHS uniform administrative regulations.

- **Discretionary**: Any T&Cs in effect at the time of the original award, or any non-competing continuation, post-award action or renewal award related thereto are applicable. Discretionary awards are subject to the requirements set forth in the Notice of Funding Opportunity (NOFO); Notice of Award (NoA) including remarks and/or specific award conditions (e.g., restricted drawdown); these Standard T&Cs; and the U.S. Department of Health and Human Services (HHS) Grants Policy Statement (GPS) (located on the HHS Grants Policies & Regulations page).

- **Non-Discretionary**: Non-discretionary awards are subject to these Standard T&Cs, the individual program-specific supplemental T&Cs, and NoA including remarks and/or specific award conditions.

b) Requirements of statutes and regulations applicable to the program under which the award is funded, including authorizing statutes, appropriations statutes, generally applicable statutes, and any regulations related thereto.

c) Ensuring that expenditures are free from fraud, waste, abuse, and duplication.

d) Ensuring all payment arrangements (e.g., subawards, contracts) related to the Federal award are in the best interest of the United States, including its taxpayers.

Enforcement

Failure to comply with the T&Cs of the award may result in disallowances, restricted drawdown, withholding of future awards, deferral of claims for Federal Financial Participation (FFP), or termination of the award. Some programs may have more specific termination provisions that will be referenced in the NOFO, the program-specific supplemental T&Cs, NOA, and/or in the specific award conditions (as applicable).

Likewise, per 45 CFR §75.352(h) [effective on or after 10/1/2025: 2 CFR §200.332(i)], recipients may consider taking enforcement actions on subawards as described in 45 CFR §75.371 [effective on or after 10/1/2025: 2 CFR §200.339] and on contracts in accordance with 45 CFR §75.335 [effective on or after 10/1/2025: 2 CFR §200.327].

- **Please note**: States and Indian Tribes must follow the same policies and procedures it uses for procurements and enforcements with non-federal funds. If such policies and procedures do not exist, States and Indian Tribes must follow the procurement standards under the Uniform Guidance. (45 CFR §§75.326 – 75.335; effective on or after 10/1/2025: 2 CFR §§200.317 – 200.327)

ALL FEDERAL FINANCIAL ASSISTANCE PROGRAMS

APPLICABLE LEGISLATION, STATUTES, REGULATIONS

Recipients must follow Federal, State, and local laws applicable to HHS awards. This includes, but is not limited to, **any** statutory and regulatory requirements, even if not directly mentioned in these terms and conditions. These may include applicable provisions of the Fair Labor Standards Act (29 U.S.C. §201 et seq.), the False Claims Act (31 U.S.C. §3729 et seq.), the Immigration and Nationality Act (8 U.S.C. §1101 et seq.), and the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193), and their corresponding regulations. This award is subject, at the minimum, to the following requirements:

1. The statutory requirements as identified in the NOFO or program-specific supplemental terms and conditions, and any requirements in the authorization and appropriations acts related to the program and award.

2. The HHS specific implementing regulations of 45 CFR Part 75 or 2 CFR Parts 200 and 300, as they are applicable in effect or implemented during the period of the award. See "Department of Health and Human Services (HHS) to Adopt 2 CFR Part 200 in Phases" in these T&Cs for effective dates and changes.

    a. **Discretionary:** Unless otherwise stated in the NOFO, all provisions under the UAR apply. Please note discretionary recipients are required to report deviations from budget or program scope or objective, and must request prior written approval from ACF for budget and program plan revisions. See the NoA for any expanded authorities authorized under the award.

    b. **Non-Discretionary:** Please refer to the program-specific supplemental T&Cs, which may also cite to or contain budget or program prior approval requirements.

3. *Other Code of Federal Regulations*: Unless otherwise provided by law, the following apply:

    a. **2 CFR Part 25** – Universal Identifier and System for Award Management

    b. **2 CFR Part 170** – Reporting Subaward and Executive Compensation Information

    c. **2 CFR Part 175** – Award Term for Trafficking in Persons

d. **2 CFR Part 176** – Award Terms for Assistance Agreements that include Funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5

e. **2 CFR Part 180 –** OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-Procurement)

f. **2 CFR Part 182** – Government-wide Requirements for Drug-Free Workplace (Financial Assistance) (including Smoking Prohibitions (20 U.S.C §§7971 – 7974, previously §§7181 – 7184)

g. **2 CFR Part 183** – Never Contract with the Enemy

h. **2 CFR Part 376 –** Non procurement Debarment and Suspension

i. **2 CFR Part 382 –** Requirements for Drug-Free Workplace (Financial Assistance)

j. **31 CFR Part 205 –** Rules and Procedures for Efficient Federal-State Funds Transfers – Cash Management Improvement Act (see also **31 U.S.C. §§3335, 6501, and 6503**)

k. **45 CFR Part 16 –** Procedures of the Departmental Grant Appeals Board

l. **45 CFR Part 30 –** Claims Collection

m. **45 CFR Part 46** – Protection of Human Subjects

n. **45 CFR Part 80 –** Nondiscrimination Under Programs Receiving Federal Assistance through the Department of Health and Human Services, Effectuation of Title VI of the Civil Rights Act of 1964

o. **45 CFR Part 81 –** Practice and Procedure for Hearings Under Part 80 of this Title

p. **45 CFR Part 84 –** Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance

q. **45 CFR Part 86 –** Nondiscrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance

r. **45 CFR Part 87 –** Equal Treatment for Faith-Based Organizations

s. **45 CFR Part 91 –** Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from HHS

t. **45 CFR Part 92** – Nondiscrimination in Health Programs or Activities

u. **45 CFR Part 93 –** New Restrictions on Lobbying

v. **45 CFR Part 95 –** General Administration – Grant Programs

w. **45 CFR Part 100** – Intergovernmental Review of Department of Health and Human Services Programs and Activities

4. *Administrative and National Policy Requirements, including HHS Policy Directives* (identified with an asterisks (*) and *Annual Appropriation Limitations* (identified with two asterisks (**))*:* Unless otherwise noted in the program-specific supplemental T&Cs, the NOFO, the administrative and national policy requirements, HHS policy directives, and annual appropriations limitations apply to all programs. Public policy requirements are requirements with a broader national purpose and are imposed by statute. The non-exhaustive list is located under the Administrative and National Policy Requirements page.

5. *Build America, Buy America (BABA) Applicability:* The BABA is not applicable to HHS programs; therefore, the following does not apply to ACF awards:

   a. **2 CFR Part 184** – Buy America Preferences for Infrastructure Projects

   b. **2 CFR §200.322** – Domestic Preference for Procurements provision

6. *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§2000d et seq.* If applicable, for **new awards made on or after March 28, 2025**, the following is effective immediately:

   By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipients whose programs are covered by Title IX certify as follows:

   - Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
   - The above requirements are conditions of payment that go to the essence of the Agreement and are therefore material terms of the Agreement.
   - Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
   - Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
   - Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or

criminal liability, including under 18 U.S.C. §§ 287 and 1001.

7. *Civil Rights Assurance.* For **new awards made on or after May 8, 2025**, the following is effective immediately:

   Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 3729(b)(4).

   (1) Definitions. As used in this clause –

   (a) DEI means "diversity, equity, and inclusion."

   (b) DEIA means "diversity, equity, inclusion, and accessibility."

   (c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.

   (e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.

   (2) Grant award certification.

   (a) By accepting the grant award, recipients are certifying that:

   (i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote the following in violation of Federal anti-discrimination laws: DEI, DEIA, or discriminatory equity ideology

COST SHARING OR MATCHING (NON-FEDERAL SHARE) OF PROGRAM FUNDING

8. Some Federal financial assistance programs require the recipient to provide a portion of program funding, as specified in Federal law. Please see the NOFO or program-specific supplemental T&Cs for the requirements.

9. *Insular Areas*. For any program that (a) requires a non-Federal share of program funding and (b) is available to several identified recipients, under the provisions of 48 U.S.C. §1469a(d), as amended, the Insular Areas, defined as American Samoa, Guam, the Northern Mariana Islands and the U.S. Virgin Islands, these recipients are not required to provide up to $200,000 of the non-Federal share of program funding. If, in any fiscal year, the non-Federal share exceeds $200,000, the statutory Federal/non-Federal funding rates for that program will apply to all expenditures that exceed that threshold.

PROGRAM INCOME

10. *Default Method*. Please refer to the NOFO, program-specific supplemental T&Cs, and NoA to verify if program income is permitted, and if so, how it is to be used. When the regulations or the T&Cs are silent, the default is the deduction method as described under 45 CFR §75.307(e) (effective 10/1/2025: 2 CFR §200.307(e)(1)). ("Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the HHS awarding agency authorizes otherwise. Program income that the non-Federal entity did not anticipate at the time of the Federal award must be used to reduce the Federal award and non-Federal entity contributions rather than to increase the funds committed to the project.")

11. *Property*. Proceeds from the sale of real property, equipment, or supplies, are not program income; such proceeds will be handled in accordance with the relevant property standards at 45 CFR §§75.318 – 75.322 (effective 10/1/2025: 2 CFR §§200.311 – 200.315), or as specifically identified in Federal statutes, regulations, or T&Cs of the Federal award. For more information about real property and tangible personal property, please see the subheading contained in this Standard T&C.

12. *Applicable Credit*. Unless provided in statutes, regulations, or T&Cs of the award, program income does not include rebates, credits, discounts, and interest earned on any of them. When those sources are silent, to the extent that such credits accruing to or received by the recipient relate to allowable costs, they must be credited to the award either as a cost reduction or cash refund as described under 45 CFR §75.406 (effective 10/1/2025: 2 CFR §200.406).

MONITORING AND REPORTING

Except in unusual circumstances, ACF recipients are required to use OMB-approved data collection forms and file these forms in intervals identified by the Federal award. (45 CFR §75.341-75.343; effective 10/1/2025: 2 CFR §§200.328 – 200.330) For more information, see the NOFO, program-specific supplemental T&Cs, NoA, or specific award conditions.

13. *Electronic Submissions*.

    Reports must be submitted electronically. **Paper copies will not be accepted**. ACF recipients must submit reports through designated online reporting systems, as identified in the NOFO, program-specific supplemental T&Cs, NoA, and/or the specific award conditions. Each system is secured and requires individuals to use a PIN, username, and password.

    a. GrantSolutions On-Line Data Collection (OLDC) system is the online reporting mechanism and is located at https://grantsolutions.gov. The GrantSolutions Help Desk is open on Monday through Friday from 7:00 am to 8:00 pm ET (except for Federal Holidays). You may reach the Help Desk at 1-866-577-0771, 202-401-5282, or help@grantsolutions.gov.

b. HHS Payment Management System (PMS) is the online payment management mechanism and is located at https://pms.psc.gov. The PMS Help Desk is open Monday through Friday from 7:00 am to 9:00 pm ET (except Federal Holidays). You may reach the Help Desk at 1-877-614-5533 or PMSSupport@psc.gov.

FINANCIAL REPORTING

14. Federal funds must be expended for the purposes which they were awarded and within the time period allotted. (45 CFR §75.302; effective 10/1/2025: 2 CFR §200.302)

15. *Obligation Period*.

    a. **Discretionary**: Recipients may charge to the award "only allowable costs incurred during the period of performance." (45 CFR §75.309; effective 10/1/2025: 2 CFR §200.309) See the NoA for the approved start and end dates of the period of performance and, if applicable, the budget period for the award. Costs incurred within a specific budget period may only be charged to the award within the dates specified for that budget period. Recipients may not charge costs incurred in a previous budget period to the next or any subsequent budget period.

    b. **Non-Discretionary**: The program-specific supplemental T&Cs will set forth the deadline for obligation.

16. *Liquidation Period*.

    Unless superseded by program specific statute or regulations, the deadline for liquidating all financial obligations incurred under the Federal award is not later than 120 calendar days after the end of the period of performance (or as specified in a program regulation). (effective 9/15/2023: 2 CFR §200.344) See NoA.

PROGRAM REPORTING

17. **Discretionary**: Please see the NOFO, NoA, as well as Reporting Requirements.

18. **Non-Discretionary**: Please see the program-specific supplemental T&Cs for the program reporting requirements.

PROPERTY REPORTING

Real property (requires specific authority and prior approval, see limitation under item 16 within this T&C), tangible personal property, and intangible property, that is acquired or improved with a Federal award must be held in trust by the recipient as trustee for the beneficiaries of the project or program under which the property was acquired or improved. ACF requires the recipient to record liens or other appropriate notice of record to indicate that personal or real property has been acquired or improved with a Federal award and that use and disposition

conditions apply to the property. Unless program regulations, program-specific supplemental T&Cs, or other program guidance say otherwise, recipients are required to follow the property standards outlined under 45 CFR §§75.316 – 75.323 (effective 10/1/2025: 2 CFR §§200.310 – 200.316). States must follow their own property standards. The following are the real property and tangible personal property guidance and reporting requirements. For additional information, please see the ACF Property Guidance pages.

REAL PROPERTY REPORTING

19. *Real Property Reports (SF-429s), OMB Control No. 4040-0016*. ACF programs must have specific statutory authority to allow recipients to provide support for acquisition, construction, and/or major renovation of real property. **Absent statutory authority and approval, costs are considered unallowable under the Federal award.** Only a few ACF programs have authority, please see the Applicable ACF Programs with Real Property Authority list. When Federal funds are allowed and used for these purposes, a Federal interest is established. A Notice of Federal Interest (NFI) must be recorded in the jurisdiction where the real property is located. Federal interest does not expire unless program statute says otherwise. So long as a Federal interest remains, property requirements and reporting apply. Recipients (and on behalf of subrecipients) are responsible for submitting the request and report forms. **Only forms submitted in GrantSolutions OLDC are considered official real property submissions**.

    The collection of SF-429 forms must be used for awards that establish a Federal interest on real property. Overview of forms are as follows:

    a. **SF-429.** The Cover Page must be submitted along with the other SF-429 Attachments (A, B, and C). GrantSolutions OLDC automatically adds the cover page to the Attachment.

    b. **SF-429 Attachment A.** The *General Report* form is due annually and follows the same reporting cycle as the annual Federal Financial Report or program specific Expenditure Report.

    c. **SF-429 Attachment B.** The *Acquire or Improve Request* form may be submitted at any time to request prior approval to use federal funds to acquire or improve property. The submission of this form, with supporting documentation, in GrantSolutions OLDC is the official starting point for any prior approval request to purchase, construct, and/or major renovation project for real property.

    d. **SF-429 Attachment C.** The *Disposition or Encumbrance Request* form may be submitted at any time to request disposition instructions. The submission of this form, with supporting documentation, in GrantSolutions OLDC is the official starting point for any prior approval disposition or encumbrance requests. When the property is no longer needed, the recipient (when applicable, on behalf of subrecipients) must submit in GrantSolutions OLDC a request for disposition instructions. OGM must be consulted and confirm the percentage of participation

(federal interest) before any payment is remitted on a real property. ACF will review and make a decision on one of the three standard OMB disposition options described under 45 CFR §75.318(c) to eliminate the Federal interest. The recipient (when applicable, on behalf of subrecipient) is required to compensate ACF for its share by remitting payment when real property is sold or retained. Payment must be received and confirmed before ACF can release the federal interest on the property. For more information, see Remit Payment guidance.

Please note that for the SF-429 Attachment B and C, the appraised value is the current fair market value based on the appraisal (**no more than three years old**) conducted by an independent certified appraiser.

For more information, please see program-specific supplemental T&Cs, the ACF Real Property Guidance, and the Applicable ACF Programs with Real Property Authority list.

TANGIBLE PERSONAL PROPERTY REPORTING

20. *Tangible Property Report (SF-428s), OMB Control No. 4040-0018*. The SF-428 is a standard form used to collect information related to tangible personal property purchased under a Federal award. Unless otherwise directed in the program-specific supplemental T&Cs, Federal assistance programs are required to use the SF-428s. Recipients (and on behalf of subrecipients) are required to submit the forms. States must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures. Overview of the forms are as follows:

    a. **SF-428.** The Cover Page must be submitted along with the other SF-428 Attachments (B, C, and S).

    b. **SF-428 Attachment A.** The Federally Owned Property Annual Report is **not applicable to ACF programs**.

    c. **SF-428 Attachment B.** The Final/Award Closeout form on Acquired Equipment purchased with Federal Funds is due at the end of a Federal Assistance Award. This form may not apply to some non-discretionary programs. Please see program-specific supplemental T&Cs for applicability and exceptions.

    d. **SF-428 Attachment C.** The Disposition Request form on Acquired Equipment is due at any time other than award closeout. The submission of this form, with the SF-428 cover page and supporting documentation, to OGM is the official starting point for any prior approval disposition request. OGM must be consulted and confirm the percentage of participation (federal interest) before any payment is remitted on the property. Recipients (and on behalf of subrecipients) are required to compensate ACF for its share by remitting payment when equipment is sold or retained. Payment must be received and confirmed before ACF can release the federal interest on the property. For more information, see Remit Payment guidance.

e. **SF-428 Attachment S.** The Supplemental Sheet may be submitted with the SF-428 Attachment B or C to provide additional information.

For more information, please see the ACF Tangible Personal Property Guidance.

AWARD PAYMENTS

21. *Payment*. All Federal financial assistance program payments will be made available through the HHS PMS. Questions pertaining to payments should be directed to: HHS Division of Payment Management, P.O. Box 6021, Rockville, MD, 20852, or PMS Help Desk at 877-614-5533, or PMSSupport@psc.gov. Other questions should be directed to the ACF contact listed on the NOA or program-specific supplemental T&Cs.

22. *Returning Funds/Interest*. Unless otherwise directed in the financial or program specific expenditure report, the HHS Program Support Center (PSC) serves as a centralized point for returning award interest and funds according to established federal law, policies, procedures, and regulations. PMS prefers that repayment be completed as an electronic transfer or by check. Please refer to the *Returning Funds/Interest* instructions under the *Recipients* drop-down on the PMS website.

SUBRECIPIENTS AND SUBCONTRACT MONITORING AND MANAGEMENT

23. All Federal assistance programs must comply with the Subrecipient Monitoring and Management requirements described in subpart D, 45 CFR §§75.351 – 75.353 (effective 10/1/2025: 2 CFR §§200.331 – 200.333). Discretionary awards are also subject to the *ACF Term and Condition on Subawards* located on the *Administrative and National Policy Requirements* page, see item 4 herein.

24. *Debarred or Suspended*. No entity may participate in these programs in any capacity or be a recipient or subrecipient of Federal funds designated for these programs if the organization has been debarred or suspended or otherwise found to be ineligible for participation in Federal financial assistance programs or activities. Please see Executive Orders 12549 and 12689, as well as 2 CFR Parts 180 and 376 for debarment and suspension provisions. Recipients must include a similar T&C for all subawards and contracts awarded under these programs. Prior to issuing subawards and contracts under the Federal award, the recipient (pass-through) must review information available through the System for Award Management (SAM), https://www.sam.gov, to determine whether an entity is ineligible.

25. *Determinations*. Recipients are required to make case-by-case subrecipient and contractor determinations on whether the substance of an agreement creates a Federal assistance relationship (subaward) or a procurement relationship (contract) in accordance with 45 CFR §75.351 (effective 10/1/2025: 2 CFR §200.331). The presence of one or more characteristics may not be present in all cases; as such, the recipient must use judgment as the substance of the relationship is more important than the form of the agreement. ACF

may also supply and require recipients to comply with additional guidance to support these determinations.

Please note for subrecipients: There is a long standing ACF OGM policy that any State, local, Tribal, or Territorial governments providing a service for a pass-through entity must be considered a subrecipient.

26. *Fixed amount subawards.* A fixed amount award cannot be used in programs which require mandatory cost sharing or matching in accordance with 45 CFR §75.201(b)(2) (effective 10/1/2025: 2 CFR §200.201(b)(2)). Many Federal assistance programs require the recipient to provide a portion of program funding, as specified in Federal law. Please see the NOFO or program-specific supplemental T&Cs for the cost sharing or matching (non-Federal share) requirement.

27. *Indirect Cost.* In accordance with 45 CFR §75.352(a)(4) (effective 10/1/2025: 2 CFR §200.332(a)(4)), pass-throughs must recognize the approved federally recognized indirect cost rate negotiated between the subrecipient and the Federal Government, or if no such rate exists, either a rate negotiated between the recipients and subrecipient or provide a percent de minimis indirect cost rate (10% under 45 CFR §75.414(f) prior to 10/1/2024; effective date 10/1/2024: 15% under 45 CFR §75.320(f); effective date 10/1/2025: 15% under 2 CFR §200.414) Please direct indirect cost questions to the HHS PSC Division of Cost Allocation Services (CAS), see CAS Contact Us.

28. *Monitoring:*

    a. *Contract*. Recipients are responsible for ensuring that contracts contain the applicable provisions described in Appendix II of 45 CFR Part 75 (effective 10/1/2025: 2 CFR Part 200). The recipient is responsible for oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of the contract or purchase order. Records must be maintained by the recipient and be sufficiently detailed for compliance.

    b. *Subrecipient*. Recipients are required to advise subrecipients of requirements imposed on them by Federal laws, regulations, and the provisions of award as well as any supplemental requirements imposed by the recipient. These include administrative and audit requirements (where applicable) under 45 CFR Part 75 (effective 10/1/2025: 2 CFR Part 200). The recipient must conduct a risk assessment of subrecipient(s) in accordance with 45 CFR §75.352(b) (effective 10/1/2025: 2 CFR §200.332(b)). Additionally, all subrecipient(s) must obtain a Unique Entity Identifier number assigned by the SAM, if they do not already have one. Recipients are required to check the SAM to verify that the subrecipient(s) is/are not debarred, suspended, or ineligible. Recipients are responsible for monitoring the activities of the subrecipient to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the T&Cs of the subaward, and that subaward performance goals are achieved. "Monitoring by the non-Federal entity must cover each program, function and

activity." See 45 CFR §§75.342 and 75.352 (effective 10/1/2015: 2 CFR §§200.329(a) and 200.332). Records must be maintained by the recipient and be sufficiently detailed for compliance. For more information, see item 4.k. *Salary Limitation – Federal Executive Level II* within this Standard T&C.

Should a subrecipient perform unsatisfactorily, the recipient is responsible for remedying subrecipient issues. Recipients of an award will be legally accountable to ACF for performance of the project or program. Recipients will be held solely responsible in the event of non-compliance by a subrecipient. The recipient will be held accountable for cost disallowances regarding subawarded funds. If requirements of the program cannot be met due to subrecipient issues, ACF may take one or more of the actions listed under 45 CFR § 75.371– 75.375 (effective 10/1/2015: 2 CFR §§200.339 – 200.343).

NON-COMPETING CONTINUATIONS

29. Most ACF discretionary awards are funded in increments. These increments are referred to as "non-competing continuations." If the award has multiple budget periods, recipients will be expected to submit non-competing continuation applications for each budget period. If not referenced in the NOA, the ACF Program Office or Grants Office will provide additional information on what documentation to submit and deadlines for non-competing continuation applications. Deadlines are typically in advance of the start date of the next budget period to allow ACF sufficient time to process the applications.

AUDITS

30. Recipients must arrange for the conduct of audits as required by 45 CFR Part 75, Subpart F – Audit Requirements (effective 10/1/2025: 2 CFR Part 200 Subpart F). For more information, also see ACF Oversight and Monitoring: Audit Reports page.

31. Recipients and pass-through entities, per 45 CFR §§75.352(f) and 75.501(effective 10/1/2025: 2 CFR §200.501), must verify that subrecipients also comply with the audit requirements.

    a. **For-profit subrecipients**. Unless stated otherwise in regulation, guidance, the NOFO, or program-specific supplemental T&Cs, the Subpart F does not apply to for-profit subrecipients. (45 CFR §75.501(h) – (k); effective 10/1/2025: 2 CFR §200.501(h)) However, at a minimum, the recipient and pass-through entity are responsible for establishing requirements to ensure compliance by for-profit subrecipients. The agreement must describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility.

EFFECTIVE PERIOD

The Standard T&C and each of the program-specific supplemental T&Cs are effective on the

date shown in the footer at the bottom of the respective pages. Each T&C supersedes all previous similar T&Cs and will remain in effect until updated. All T&Cs will be updated and reissued as needed.

POINTS OF CONTACT

Points of contact for additional information or questions concerning either the operation of the program or related financial or Federal assistance award matters may be found on the NoA. The Program Office contact handles the programmatic specific needs such as program intent, goals and objectives; whereas, the OGM contact typically handles any business, financial, and administrative activities such as budget revisions, prior approval requests, and closeouts.

IMPORTANT ADDRESSES

Administration for Children and Families
Office of Grants Management
330 C Street, SW. Mailstop 3127
Washington, DC 20201

OIG HOTLINE

The OIG of HHS maintains the OIG Hotline, a system for reporting allegations of fraud, waste, abuse and mismanagement in Department of Health and Human Services' programs. Your information will be reviewed by a professional staff member and will remain confidential; you need not provide your name. Information provided through the website is secure and all information is safeguarded against unauthorized disclosure. Report the possible misuse of federal funds by phone or online. Please provide as much detailed information as possible in your report.

Online:	https://oig.hhs.gov/report-fraud
Phone:	800-HHS-TIPS (800-447-8477)
TTY:	800-377-4950
Fax:	800-223-8164

If you are a provider, HHS contractor, HHS recipient or subrecipient and want to self-disclose potential fraud in HHS programs, please visit the *self-disclosure* webpage at: https://oig.hhs.gov/compliance/self-disclosure-info/index.asp.

IMPORTANT WEBSITES

- Welcome To ACF website.
- ACF Award Terms and Conditions.
- HHS Grants website.
- *Congress.gov Congressional Research Service:* Appropriations.
- *General and Permanent Laws*: United States Code (U.S.C.).
- *Federal Regulations*: Electronic Code of Federal Regulations (e-CFR).
- *Congress.gov*: U.S. Federal Legislative Information.

Effective May 9, 2025, for awards and funded modifications made on or after this date.

Outlook

For Action: Recipient Notification of Updated ACF Standard Terms and Conditions

From Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>

Date Fri 2025-05-09 15:58

To ACF - OGM Management Team <OGMManagementTeam@acf.hhs.gov>; ACF ALL OGM Grants Management Officers <ACFALLOGMGrantsManagementOfficers@acf.hhs.gov>

Cc ACF Deputies Group <ACFDeputiesGroup@acf.hhs.gov>; Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>; Chamberlain, Brenda (ACF) <brenda.chamberlain@acf.hhs.gov>; James, Aleisha (ACF) <Aleisha.James@acf.hhs.gov>; Killian, Kathy (ACF) <Kathy.Killian@acf.hhs.gov>; Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>; Petruccelli, Anthony J. (ACF) <Anthony.Petruccelli@acf.hhs.gov>; Shields, Karen (ACF) <Karen.Shields@ACF.hhs.gov>; Villamor, Monique (ACF) <Monique.Villamor@acf.hhs.gov>; Williams, Serena L. (ACF) <Serena.Williams@acf.hhs.gov>

FOR ACTION:

ACTION: Recipient Notification for the Updated ACF Standard Terms and Conditions

DUE DATE: As soon as possible

CONTACT: Questions may be sent to: Latasha Abney, OGP Director, and/or Beth Leo, OGP Policy Branch.

SUMMARY: In consultation with Office of General Council (OGC) and the HHS Office of Grants (OG), the *ACF Standard Terms and Conditions* (T&C) under the Award Terms and Conditions page has been updated to incorporate the following:

- Updated the *HHS Grants Policy Statement (GPS)* link to the HHS Grants Policies & Regulations page. This was intended to reduce broken links when new versions are made available, such as the recent April 2025 version.

- Added the 45 CFR Part 92 Nondiscrimination in Health Programs or Activities under item 3 of the T&C. This applies to health program or activities that receive Federal financial assistance from HHS.

- Added the two additional terms identified in recent HHS Action Transmittals impacting new awards. They are the:

    1. *Title IX of the Education Amendments of 1972* term (OG AT-2025-01) under item 6 of the T&C. **Please note**: this applies to new awards made on or after March 28, 2025.

    2. *Civil Rights Assurance* term (OG AT-2025-02) under item 7 of the T&C. **Please note**: this applies to new awards made on or after May 8, 2025.

As a reminder, the *ACF Standard T&C* applies to both discretionary and non-discretionary awards. These *ACF Standard T&Cs* should be incorporated by reference in Notice of Awards. OGP recommends linking

to the Award Terms and Conditions page rather than the PDF of the *ACF Standard T&C*, as these are subject to change.

OGP respectfully requests Office of Grants Management (OGM) notify recipients of the updated *ACF Standard T&Cs*.

ADMINISTRATION FOR CHILDREN & FAMILIES
Office of the Assistant Secretary | 330 C Street, S.W., Suite 4034
Washington, D.C. 20201 | www.acf.hhs.gov

July 3, 2025

Dear Family Violence Prevention and Services Act (FVPSA) Non-Discretionary Recipients:

The Department of Health and Human Services (HHS) is obligated to ensure that taxpayer dollars are used to advance the best interests of the government. The Secretary of HHS has determined that awards supporting diversity, equity, and inclusion (DEI) do not meet a public purpose to the extent they are inconsistent with the Department's policy of improving the health and well-being of all Americans and may violate Federal civil rights law.

Consistent with these goals, the Office of Family Violence Prevention and Services (OFVPS) strongly encourages all recipients of formula awards funded by FVPSA (42 U.S.C. 10406 and 42 U.S.C. 10411) to review all plans, services, strategies, and expenditures under these programs, including those made by subrecipients or contractors, to ensure that they do not support DEI initiatives or any other initiatives that discriminate on the basis of race, color, religion, sex, national origin, or another protected characteristic.

OFVPS recommends recipients take prompt action to conduct reviews for compliance with all applicable laws. Recipients are strongly encouraged to review budgets, budget justification narratives, program goals, and other materials to ensure that federal funds are not used for unlawful DEI initiatives. Expenditures found to be out of compliance with federal law may be subject to enforcement action in accordance with an applicable law and the terms and conditions of the award.

HHS's DEI directive does not change recipients' obligations under the FVPSA statute.

Sincerely,

Andrew K. Gradison

Andrew Gradison
Acting Assistant Secretary
Administration for Children and Families
U.S. Department of Health and Human Services

Outlook

FW: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

From Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>
Date Mon 2025-07-28 08:19
To Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>; Dorr, Andrew (ACF) <Andrew.Dorr@acf.hhs.gov>; Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>; Mella, Emily (ACF) <Emily.Mella@acf.hhs.gov>; Bushwick, Helene (ACF) <Helene.Bushwick@acf.hhs.gov>; Levy, Mark (ACF) <Mark.Levy@acf.hhs.gov>

1 attachment (154 KB)
Antidiscrimination Compliance Certification AT 2025-05.pdf;

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, July 25, 2025 12:46 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification
Importance: High

Chief Grants Management Officers,

On May 28th, the Office of Grants rescinded Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. Today, July 24, 2025, the Grants Policy Statement (GPS) was updated to reflect the below revised language regarding compliance with all federal antidiscrimination laws. Moving forward, HHS awarding agencies must include the below HHS-approved term in all Notices of Award (NoAs) and clearly state the term in Notices of Funding Opportunity (NOFOs).

> ***Required Notice of Award Term and Condition Language***
>
> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

See the attached associated Action Transmittal. Please contact your Desk Officer if you have any questions, or anyone in OG. Thank you,

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| dale.bell@hhs.gov

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-05

Issuance Date: July 24, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

WILLIAM D. BELL IV -S Digitally signed by WILLIAM D. BELL IV -S Date: 2025.07.25 11:36:10 -04'00'

SUBJECT: Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

ACTION:

HHS awarding agencies must insert the below HHS-approved language as a term and condition in all Notices of Award (NoAs) and clearly state this term in Notices of Funding Opportunity (NOFOs):

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Internal Only

Outlook

FW: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

From Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>
Date Mon 2025-07-28 08:51
To Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>

1 attachment (154 KB)
Antidiscrimination Compliance Certification AT 2025-05.pdf;

We just updated the terms and conditions and posted them to the ACF website.

Please have PB staff remove the Civil Rights Assurance and add the language included in the attached AT. When done, please have staff created an announcement that speaks to the updated terms and conditions, rescinded AT and the one effective July 24th.

Thank you,

Latasha

Latasha N. Abney
Director
Office of Grants Policy
Administration for Children and Families
U.S. Dept. of Health and Human Services

From: Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>
Sent: Monday, July 28, 2025 8:19 AM
To: Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>; Dorr, Andrew (ACF) <Andrew.Dorr@acf.hhs.gov>; Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>; Mella, Emily (ACF) <Emily.Mella@acf.hhs.gov>; Bushwick, Helene (ACF) <Helene.Bushwick@acf.hhs.gov>; Levy, Mark (ACF) <Mark.Levy@acf.hhs.gov>
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Sent: Friday, July 25, 2025 12:46 PM
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-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-05

Issuance Date: July 24, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

WILLIAM D. BELL IV -S Digitally signed by WILLIAM D. BELL IV -S Date: 2025.07.25 11:36:10 -04'00'

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Internal Only

ADMINISTRATION FOR CHILDREN & FAMILIES

Federal Fiscal Year 2025

STANDARD TERMS AND CONDITIONS

Except as noted otherwise, these Terms and Conditions (T&Cs) apply to Federal financial assistance awards, i.e., grant and cooperative agreement programs, administered by the Administration for Children and Families (ACF). Please see the Award Terms and Conditions page.

EFFECTIVE PERIOD

This Standard T&Cs and each of the program-specific supplemental T&Cs are effective on the date shown in the footer at the bottom of the respective pages and applies to awards and award modifications that add funding which are issued on or after that date (including any supplements to awards and competing and non-competing continuation awards). For recipients of such awards, the T&Cs supersede all previous similar T&Cs and will remain in effect until updated for subsequent awards. All T&Cs will be updated and reissued as needed.

UPDATES: The following table shows the updates that were made to this document:

Date Updated	Significant Change
2025/07/29	Under the *Applicable Legislation, Statutes, Regulations* heading: • Removed the Civil Rights Assurance term and condition under item 7 • Added the Antidiscrimination Laws and Requirements term and condition under item 7.
2025/07/25	Added this "Updates" table to note the significant changes from the previous version of the T&C document. Added a new term and condition under the *Enforcement* heading: • The new term and condition addresses terminations by emphasizing that there are new additional bases upon which grants that are covered by the term may be terminated.
2025/05/09	New terms and conditions added under the *Applicable Legislation, Statutes, Regulations* heading: • Additional clarification added to the introduction of the section. • New text under item 6 referring to Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§2000d et seq. This change applies to awards made on or after May 9, 2025. • New text under item 7 entitled Civil Rights Assurance. This change

Date Updated	Significant Change
	applies to awards made on or after May 9, 2025. Under the *Federal Financial Assistance Award Acceptance* heading: • Updated the link to the HHS Grants Policy Statement (GPS) to reduce connectivity issues with future versions. • Added language concerning: 1) expenditures being free of fraud, waste, duplication and 2) ensuring all payments are in the best interest of the federal government. Under the *Enforcement* heading: • Added language clarifying enforcement actions on subawards. • Added a note to States and Tribes addressing procurement procedures.

Precedence

All applicable statutory or regulatory provisions supersede any conflicting or inconsistent provisions in this Standard T&Cs.

Department of Health and Human Services (HHS) to Adopt 2 CFR Part 200 in Phases

Per Federal Register (FR), 89 FR 80055, HHS describes the intended phases of formally adopting 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (UAR) as modified by Office of Management and Budget (OMB), 89 FR 30136, April 22, 2024). As a result, the content herein will identify both 45 CFR Part 75 and respectively, by effective date, 2 CFR Part 200 and 2 CFR Part 300 HHS-specific regulations.

Effective 10/1/2024 – Increasing Thresholds / Flexibilities for Recipients in 45 CFR Part 75 (to align with similar provisions in 2 CFR 200)

Provisions (Regulations)	**Before 10/1/2024** Threshold under 45 CFR Part 75	**On and After 10/1/2024** New Threshold
Modified Total Direct Cost Definition (45 CFR §75.2 / 2 CFR §200.1)	$25,000	$50,000
Equipment (45 CFR §75.320(e) / 2 CFR §§200.1, 200.313(e), 200.439(b)(2))	$5,000	$10,000
Unused Supplies (45 CFR §75.321(a) / 2 CFR §§200.1, 200.314(a))	$5,000	$10,000
Micro-purchase Threshold[1] (45 CFR §75.329(a) / 2 CFR §200.320)	$10,000	$50,000
Fixed Amount Awards Subawards (45 CFR §75.353 / 2 CFR §200.333)	$250,000	$500,000

[1] This provision was adopted on December 12, 2017 under Public Law 115-91 and OMB Memorandum 18-18.

Provisions (Regulations)	**Before 10/1/2024** Threshold under 45 CFR Part 75	**On and After 10/1/2024** New Threshold
Closeout[2] (45 CFR §75.381 / 2 CFR §200.344)	90 days	120 days
De Minimis Indirect Rate[3] (45 CFR §75.414(f) / 2 CFR §200.414(f))	10%	15%
Single Audit (45 CFR §75.501 / 2 CFR §200.501)	$750,000	$1,000,000

Effective 10/1/2025 – 2 CFR 200 and HHS Specific Modifications Implementation

- Adopt 2 CFR Part 200.
- Repeal 45 CFR Part 75 in its entirety and update existing citations in HHS regulations.
- Relocate HHS-specific modifications from 45 CFR Part 75 to 2 CFR Part 300:

Modification	**Before 10/1/2025** 45 CFR Part 75	**On and After 10/1/2025** 2 CFR Part 300
Adoption of 2 CFR Part 200	75.106	300.106
Conflict of Interest	75.112	300.112
Special Provisions for awards to For-Profit Organizations as Recipients	75.216	300.218
Special Provisions for awards to Federal agencies	75.217	300.219
Non-discrimination language	75.300	300.300
Federal Payment	75.305(a)	300.305
Revision of budget and program plans (specific to research care cost prior approval	75.308(c)(1)(ix)	300.308
Intangible Property (patents and inventions)	75.307(c)(2)	300.315
Indirect Cost (Training and Foreign cap and allowing rates for American U, Beirut, and WHO)	75.414(c)(1)	300.414
Independent research and development costs	75.476	300.477
Shared responsibility payments	75.477	300.478
Cost Principles for Research & Development Grant Activities with Hospitals	Appendix IX	Appendix IX

Federal Financial Assistance Award Acceptance

State, local, tribal and other laws and regulations may apply and affect expenditures of Federal funds provided that they conform to applicable federal statutes and regulations. The first draw down or request for award funds from HHS Division of Payment Management Services (PMS) constitutes acceptance of the T&Cs under the Federal award.

[2] This provision was adopted on September 15, 2023 under 88 FR 63591.

[3] Note this does not apply to HHS Training or Foreign awards, for which HHS retains the de minimis cap at 8%.

A Federal assistance award is subject to T&Cs set forth in the award, these standard T&Cs, and those T&Cs cited and incorporated by reference. A recipient is the entity that receives a Federal award directly from ACF, per 45 CFR §75.2 (effective 10/1/2025: 2 CFR §200.1). By acceptance of an award, the recipient agrees to comply with these T&Cs. Unless indicated otherwise, per 45 CFR §75.101(b)(1) (effective 10/1/2025: 2 CFR §200.101(b)(2)), the T&Cs of Federal awards flow down to subrecipients and to contractors (when applicable) as described in 45 CFR §§75.351 – 75.353 (effective 10/1/2024: 2 CFR §200.333; effective 10/1/2025: 2 CFR §200.331 – 200.332).

Recipients must comply with all T&Cs of their awards, including:

a) The T&Cs in effect at the time of the award, including the requirements of applicable HHS uniform administrative regulations.

- **Discretionary Awards**: Any T&Cs in effect at the time of the original award, or any non-competing continuation, post-award action or renewal award related thereto are applicable. Discretionary awards are subject to the requirements set forth in the Notice of Funding Opportunity (NOFO); Notice of Award (NoA) including remarks and/or specific award conditions (e.g., restricted drawdown); these Standard T&Cs; and the HHS Grants Policy Statement (GPS) (located on the HHS Grants Policies & Regulations page).

- **Non-Discretionary Awards**: Non-discretionary awards are subject to these Standard T&Cs, the individual program-specific supplemental T&Cs, and NoA including remarks and/or specific award conditions.

b) Requirements of statutes and regulations applicable to the program under which the award is funded, including authorizing statutes, appropriations statutes, generally applicable statutes, and any regulations related thereto.

c) Ensuring that expenditures are free from fraud, waste, abuse, and duplication.

d) Ensuring all payment arrangements (e.g., subawards, contracts) related to the Federal award are in the best interest of the United States, including its taxpayers.

Enforcement

Failure to comply with the T&Cs of the award may result in an enforcement remedy such as a disallowance, restricted drawdown, withholding of future awards, deferral of claims for Federal Financial Participation (FFP), or termination of the award. Some programs may have more specific termination provisions that will be referenced in the NOFO, the program-specific supplemental T&Cs, NOA, and/or in the specific award conditions (as applicable).

Likewise, per 45 CFR §75.352(h) [effective on or after 10/1/2025: 2 CFR §200.332(i)], recipients must consider taking enforcement actions on any noncompliant sub-awards as described in 45 CFR §75.371 [effective on or after 10/1/2025: 2 CFR §200.339] and on contracts in accordance with 45 CFR §75.335 [effective on or after 10/1/2025: 2 CFR §200.327].

- **Please note**: When conducting procurement transactions States and Indian Tribes must follow the same policies and procedures they use for non-federal funds. If they have no such policies and procedures, States and Indian Tribes must follow the procurement standards under the Uniform Guidance. (45 CFR §§75.326 – 75.335; effective on or after 10/1/2025: 2 CFR §§200.317 – 200.327)

Termination

New awards and funded modifications (including supplements to awards, and competing and non-competing continuation awards), that are issued on or after July 25, 2025, may be terminated for any of the reasons identified below unless the award was issued in either of two exempt program categories. Under the categories of awards that are exempt, the below termination bases do not apply to any program that is subject to a Federal statute that provides otherwise (such as a mandatory grant authorizing statute), or listed at 45 CFR § 75.101(d)(1)-(4) [effective on or after 10/1/2025: 2 CFR §200.101(e)(1)-(4)]:

1. ***Prior to October 1, 2025***, this award is subject to the termination provisions at 45 CFR §75.372.

2. ***Starting October 1, 2025***, this award is subject to the termination provisions at 2 CFR §200.340. By accepting the award, the recipient agrees to this term and condition. Pursuant to 2 CFR §200.340(a)(4), an award may be terminated pursuant to this term and condition in addition to the reasons identified in 2 CFR §200.340(a)(1)-(3). Beginning on that date, under this term and condition of your award, the Department may terminate this award in part or in its entirety based upon:

   (1) the availability of appropriated funds,
   (2) the recipient's satisfactory progress in achieving the goals or objectives of the project;
   (3) the recipient's compliance with the terms and conditions of a previous award; or
   (4) for whatever reason continued funding would not be in the best interests of the Federal government (including when a grant no longer effectuates the program goals or agency priorities).

Under this term and condition, an award may be terminated at any point during the performance period, including during a budget period.

ALL FEDERAL FINANCIAL ASSISTANCE PROGRAMS

APPLICABLE LEGISLATION, STATUTES, REGULATIONS

Recipients must follow Federal, State, and local laws applicable to HHS awards. This includes, but is not limited to, **any** statutory and regulatory requirements, even if not directly mentioned in these terms and conditions. These may include applicable provisions of the Fair Labor Standards Act (29 U.S.C. §201 et seq.), the False Claims Act (31 U.S.C. §3729 et seq.), the Immigration and Nationality Act (8 U.S.C. §1101 et seq.), and the Personal Responsibility and Work

Opportunity Reconciliation Act of 1996 (Public Law 104-193), and their corresponding regulations. This award is subject, at the minimum, to the following requirements:

1. The statutory requirements as identified in the NOFO or program-specific supplemental terms and conditions, and any requirements in the authorization and appropriations acts related to the program and award.

2. The HHS specific implementing regulations of 45 CFR Part 75 or 2 CFR Parts 200 and 300, as they are applicable in effect or implemented during the period of the award. See "Department of Health and Human Services (HHS) to Adopt 2 CFR Part 200 in Phases" in these T&Cs for effective dates and changes.

   - **Discretionary:** Unless otherwise stated in the NOFO, all provisions under the UAR apply. Please note discretionary recipients are required to report deviations from budget or program scope or objective, and must request prior written approval from ACF for budget and program plan revisions. See the NoA for any expanded authorities authorized under the award.

   - **Non-Discretionary**: Please refer to the program-specific supplemental T&Cs, which may also cite to or contain budget or program prior approval requirements.

3. *Other Code of Federal Regulations*: Unless otherwise provided by law, the following apply:

   a. **2 CFR Part 25** – Universal Identifier and System for Award Management

   b. **2 CFR Part 170** – Reporting Subaward and Executive Compensation Information

   c. **2 CFR Part 175** – Award Term for Trafficking in Persons

   d. **2 CFR Part 176** – Award Terms for Assistance Agreements that include Funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5

   e. **2 CFR Part 180 –** OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-Procurement)

   f. **2 CFR Part 182** – Government-wide Requirements for Drug-Free Workplace (Financial Assistance) (including Smoking Prohibitions (20 U.S.C §§7971 – 7974, previously §§7181 – 7184)

   g. **2 CFR Part 183** – Never Contract with the Enemy

   h. **2 CFR Part 376 –** Non procurement Debarment and Suspension

   i. **2 CFR Part 382 –** Requirements for Drug-Free Workplace (Financial Assistance)

j. **31 CFR Part 205 –** Rules and Procedures for Efficient Federal-State Funds Transfers – Cash Management Improvement Act (see also **31 U.S.C. §§3335, 6501, and 6503**)

k. **45 CFR Part 16 –** Procedures of the Departmental Grant Appeals Board

l. **45 CFR Part 30 –** Claims Collection

m. **45 CFR Part 46** – Protection of Human Subjects

n. **45 CFR Part 80 –** Nondiscrimination Under Programs Receiving Federal Assistance through the Department of Health and Human Services, Effectuation of Title VI of the Civil Rights Act of 1964

o. **45 CFR Part 81 –** Practice and Procedure for Hearings Under Part 80 of this Title

p. **45 CFR Part 84 –** Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance

q. **45 CFR Part 86 –** Nondiscrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance

r. **45 CFR Part 87 –** Equal Treatment for Faith-Based Organizations

s. **45 CFR Part 91 –** Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from HHS

t. **45 CFR Part 92** – Nondiscrimination in Health Programs or Activities

u. **45 CFR Part 93 –** New Restrictions on Lobbying

v. **45 CFR Part 95 –** General Administration – Grant Programs

w. **45 CFR Part 100** – Intergovernmental Review of Department of Health and Human Services Programs and Activities

4. *Administrative and National Policy Requirements, including HHS Policy Directives* (identified with an asterisks (*) and *Annual Appropriation Limitations* (identified with two asterisks (**))*:* Unless otherwise noted in the program-specific supplemental T&Cs, the NOFO, the administrative and national policy requirements, HHS policy directives, and annual appropriations limitations apply to all programs. Public policy requirements are requirements with a broader national purpose and are imposed by statute. The non-exhaustive list is located under the Administrative and National Policy Requirements page.

5. *Build America, Buy America (BABA) Applicability:* The BABA is not applicable to HHS

programs; therefore, the following does not apply to ACF awards:

a. **2 CFR Part 184** – Buy America Preferences for Infrastructure Projects

b. **2 CFR §200.322** – Domestic Preference for Procurements provision

6. *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§2000d et seq.* For new awards made on or after May 9, 2025, the following is effective immediately:

   By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipients whose programs are covered by Title IX certify as follows:
   - Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
   - The above requirements are conditions of payment that go to the essence of the Agreement and are therefore material terms of the Agreement.
   - Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
   - Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
   - Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

7. *Antidiscrimination Laws and Requirements.*

   By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

8. *Assurance of Compliance.*

   The Applicant hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964, as amended (codified at 42 U.S.C. 2000d et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 80); Section 504 of the Rehabilitation Act of 1973, as amended (codified at 29 U.S.C. 794), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part

84); Title IX of the Education Amendments of 1972, as amended (codified at 20 U.S.C. § 1681 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86); The Age Discrimination Act of 1975, as amended (codified at 42 U.S.C. § 6101 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 91); and Section 1557 of the Patient Protection and Affordable Care Act, as amended (codified at 42 U.S.C. § 18116), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 92).

COST SHARING OR MATCHING (NON-FEDERAL SHARE) OF PROGRAM FUNDING

9. Some Federal financial assistance programs require the recipient to provide a portion of program funding, as specified in Federal law. Please see the NOFO or program-specific supplemental T&Cs for the requirements.

10. *Insular Areas*. For any program that (a) requires a non-Federal share of program funding and (b) is available to several identified recipients, under the provisions of 48 U.S.C. §1469a(d), as amended, the Insular Areas, defined as American Samoa, Guam, the Northern Mariana Islands and the U.S. Virgin Islands, these recipients are not required to provide up to $200,000 of the non-Federal share of program funding. If, in any fiscal year, the non-Federal share exceeds $200,000, the statutory Federal/non-Federal funding rates for that program will apply to all expenditures that exceed that threshold.

PROGRAM INCOME

11. *Default Method*. Please refer to the NOFO, program-specific supplemental T&Cs, and NoA to verify if program income is permitted, and if so, how it is to be used. When the regulations or the T&Cs are silent, the default is the deduction method as described under 45 CFR §75.307(e) (effective 10/1/2025: 2 CFR §200.307(e)(1)). ("Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the HHS awarding agency authorizes otherwise. Program income that the non-Federal entity did not anticipate at the time of the Federal award must be used to reduce the Federal award and non-Federal entity contributions rather than to increase the funds committed to the project.")

12. *Property*. Proceeds from the sale of real property, equipment, or supplies, are not program income; such proceeds will be handled in accordance with the relevant property standards at 45 CFR §§75.318 – 75.322 (effective 10/1/2025: 2 CFR §§200.311 – 200.315), or as specifically identified in Federal statutes, regulations, or T&Cs of the Federal award. For more information about real property and tangible personal property, please see the subheading contained in this Standard T&C.

13. *Applicable Credit*. Unless provided in statutes, regulations, or T&Cs of the award, program income does not include rebates, credits, discounts, and interest earned on any of

them. When those sources are silent, to the extent that such credits accruing to or received by the recipient relate to allowable costs, they must be credited to the award either as a cost reduction or cash refund as described under 45 CFR §75.406 (effective 10/1/2025: 2 CFR §200.406).

MONITORING AND REPORTING

Except in unusual circumstances, ACF recipients are required to use OMB-approved data collection forms and file these forms in intervals identified by the Federal award. (45 CFR §75.341-75.343; effective 10/1/2025: 2 CFR §§200.328 – 200.330) For more information, see the NOFO, program-specific supplemental T&Cs, NoA, or specific award conditions.

14. *Electronic Submissions*.

    Reports must be submitted electronically. **Paper copies will not be accepted**. ACF recipients must submit reports through designated online reporting systems, as identified in the NOFO, program-specific supplemental T&Cs, NoA, and/or the specific award conditions. Each system is secured and requires individuals to use a PIN, username, and password.

    a. GrantSolutions On-Line Data Collection (OLDC) system is the online reporting mechanism and is located at https://grantsolutions.gov. The GrantSolutions Help Desk is open on Monday through Friday from 7:00 am to 8:00 pm ET (except for Federal Holidays). You may reach the Help Desk at 1-866-577-0771, 202-401-5282, or help@grantsolutions.gov.

    b. HHS Payment Management System (PMS) is the online payment management mechanism and is located at https://pms.psc.gov. The PMS Help Desk is open Monday through Friday from 7:00 am to 9:00 pm ET (except Federal Holidays). You may reach the Help Desk at 1-877-614-5533 or PMSSupport@psc.gov.

FINANCIAL REPORTING

15. Federal funds must be expended for the purposes which they were awarded and within the time period allotted. (45 CFR §75.302; effective 10/1/2025: 2 CFR §200.302)

16. *Obligation Period*.

    a. **Discretionary Awards**: Recipients may charge to the award "only allowable costs incurred during the period of performance." (45 CFR §75.309; effective 10/1/2025: 2 CFR §200.309) See the NoA for the approved start and end dates of the period of performance and, if applicable, the budget period for the award. Costs incurred within a specific budget period may only be charged to the award within the dates specified for that budget period. Recipients may not charge costs incurred in a previous budget period to the next or any subsequent budget period.

b. **Non-Discretionary Awards**: The program-specific supplemental T&Cs will set forth the deadline for obligation.

17. *Liquidation Period*.

Unless superseded by program specific statute or regulations, the deadline for liquidating all financial obligations incurred under the Federal award is not later than 120 calendar days after the end of the period of performance (or as specified in a program regulation). (effective 9/15/2023: 2 CFR §200.344) See NoA.

PROGRAM REPORTING

18. **Discretionary Awards**: Please see the NOFO, NoA, as well as Reporting Requirements.

19. **Non-Discretionary Awards**: Please see the program-specific supplemental T&Cs for the program reporting requirements.

PROPERTY REPORTING

Real property (requires specific authority and prior approval, see limitation under item 16 within this T&C), tangible personal property, and intangible property, that is acquired or improved with a Federal award must be held in trust by the recipient as trustee for the beneficiaries of the project or program under which the property was acquired or improved. ACF requires the recipient to record liens or other appropriate notice of record to indicate that personal or real property has been acquired or improved with a Federal award and that use and disposition conditions apply to the property. Unless program regulations, program-specific supplemental T&Cs, or other program guidance say otherwise, recipients are required to follow the property standards outlined under 45 CFR §§75.316 – 75.323 (effective 10/1/2025: 2 CFR §§200.310 – 200.316). States must follow their own property standards. The following are the real property and tangible personal property guidance and reporting requirements. For additional information, please see the ACF Property Guidance pages.

REAL PROPERTY REPORTING

20. *Real Property Reports (SF-429s), OMB Control No. 4040-0016*. ACF programs must have specific statutory authority to allow recipients to provide support for acquisition, construction, and/or major renovation of real property. **Absent statutory authority and approval, costs are considered unallowable under the Federal award.** Only a few ACF programs have authority, please see the Applicable ACF Programs with Real Property Authority list. When Federal funds are allowed and used for these purposes, a Federal interest is established. A Notice of Federal Interest (NFI) must be recorded in the jurisdiction where the real property is located. Federal interest does not expire unless program statute says otherwise. So long as a Federal interest remains, property requirements and reporting apply. Recipients (and on behalf of subrecipients) are responsible for submitting the request and report forms. **Only forms submitted in**

GrantSolutions OLDC are considered official real property submissions.

The collection of SF-429 forms must be used for awards that establish a Federal interest on real property. Overview of forms are as follows:

a. **SF-429.** The Cover Page must be submitted along with the other SF-429 Attachments (A, B, and C). GrantSolutions OLDC automatically adds the cover page to the Attachment.

b. **SF-429 Attachment A.** The *General Report* form is due annually and follows the same reporting cycle as the annual Federal Financial Report or program specific Expenditure Report.

c. **SF-429 Attachment B.** The *Acquire or Improve Request* form may be submitted at any time to request prior approval to use federal funds to acquire or improve property. The submission of this form, with supporting documentation, in GrantSolutions OLDC is the official starting point for any prior approval request to purchase, construct, and/or major renovation project for real property.

d. **SF-429 Attachment C.** The *Disposition or Encumbrance Request* form may be submitted at any time to request disposition instructions. The submission of this form, with supporting documentation, in GrantSolutions OLDC is the official starting point for any prior approval disposition or encumbrance requests. When the property is no longer needed, the recipient (when applicable, on behalf of subrecipients) must submit in GrantSolutions OLDC a request for disposition instructions. OGM must be consulted and confirm the percentage of participation (federal interest) before any payment is remitted on a real property. ACF will review and make a decision on one of the three standard OMB disposition options described under 45 CFR §75.318(c) to eliminate the Federal interest. The recipient (when applicable, on behalf of subrecipient) is required to compensate ACF for its share by remitting payment when real property is sold or retained. Payment must be received and confirmed before ACF can release the federal interest on the property. For more information, see Remit Payment guidance.

Please note that for the SF-429 Attachment B and C, the appraised value is the current fair market value based on the appraisal (**no more than three years old**) conducted by an independent certified appraiser.

For more information, please see program-specific supplemental T&Cs, the ACF Real Property Guidance, and the Applicable ACF Programs with Real Property Authority list.

TANGIBLE PERSONAL PROPERTY REPORTING

21. *Tangible Property Report (SF-428s), OMB Control No. 4040-0018*. The SF-428 is a standard form used to collect information related to tangible personal property purchased under a Federal award. Unless otherwise directed in the program-specific supplemental

T&Cs, Federal assistance programs are required to use the SF-428s. Recipients (and on behalf of subrecipients) are required to submit the forms. States must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures. Overview of the forms are as follows:

a. **SF-428.** The Cover Page must be submitted along with the other SF-428 Attachments (B, C, and S).

b. **SF-428 Attachment A.** The Federally Owned Property Annual Report is **not applicable to ACF programs**.

c. **SF-428 Attachment B.** The Final/Award Closeout form on Acquired Equipment purchased with Federal Funds is due at the end of a Federal Assistance Award. This form may not apply to some non-discretionary programs. Please see program-specific supplemental T&Cs for applicability and exceptions.

d. **SF-428 Attachment C.** The Disposition Request form on Acquired Equipment is due at any time other than award closeout. The submission of this form, with the SF-428 cover page and supporting documentation, to OGM is the official starting point for any prior approval disposition request. OGM must be consulted and confirm the percentage of participation (federal interest) before any payment is remitted on the property. Recipients (and on behalf of subrecipients) are required to compensate ACF for its share by remitting payment when equipment is sold or retained. Payment must be received and confirmed before ACF can release the federal interest on the property. For more information, see Remit Payment guidance.

e. **SF-428 Attachment S.** The Supplemental Sheet may be submitted with the SF-428 Attachment B or C to provide additional information.

For more information, please see the ACF Tangible Personal Property Guidance.

AWARD PAYMENTS

22. *Payment*. All Federal financial assistance program payments will be made available through the HHS PMS. Questions pertaining to payments should be directed to: HHS Division of Payment Management, P.O. Box 6021, Rockville, MD, 20852, or PMS Help Desk at 877-614-5533, or PMSSupport@psc.gov. Other questions should be directed to the ACF contact listed on the NOA or program-specific supplemental T&Cs.

23. *Returning Funds/Interest*. Unless otherwise directed in the financial or program specific expenditure report, the HHS Program Support Center (PSC) serves as a centralized point for returning award interest and funds according to established federal law, policies, procedures, and regulations. PMS prefers that repayment be completed as an electronic transfer or by check. Please refer to the *Returning Funds/Interest* instructions under the *Recipients* drop-down on the PMS website.

SUBRECIPIENTS AND SUBCONTRACT MONITORING AND MANAGEMENT

24. All Federal assistance programs must comply with the Subrecipient Monitoring and Management requirements described in subpart D, 45 CFR §§75.351 – 75.353 (effective 10/1/2025: 2 CFR §§200.331 – 200.333). Discretionary awards are also subject to the *ACF Term and Condition on Subawards* located on the *Administrative and National Policy Requirements* page, see item 4 herein.

25. *Debarred or Suspended*. No entity may participate in these programs in any capacity or be a recipient or subrecipient of Federal funds designated for these programs if the organization has been debarred or suspended or otherwise found to be ineligible for participation in Federal financial assistance programs or activities. Please see Executive Orders 12549 and 12689, as well as 2 CFR Parts 180 and 376 for debarment and suspension provisions. Recipients must include a similar T&C for all subawards and contracts awarded under these programs. Prior to issuing subawards and contracts under the Federal award, the recipient (pass-through) must review information available through the System for Award Management (SAM), https://www.sam.gov, to determine whether an entity is ineligible.

26. *Determinations*. Recipients are required to make case-by-case subrecipient and contractor determinations on whether the substance of an agreement creates a Federal assistance relationship (subaward) or a procurement relationship (contract) in accordance with 45 CFR §75.351 (effective 10/1/2025: 2 CFR §200.331). The presence of one or more characteristics may not be present in all cases; as such, the recipient must use judgment as the substance of the relationship is more important than the form of the agreement. ACF may also supply and require recipients to comply with additional guidance to support these determinations.

    Please note for subrecipients: There is a long standing ACF OGM policy that any State, local, Tribal, or Territorial governments providing a service for a pass-through entity must be considered a subrecipient.

27. *Fixed amount subawards*. A fixed amount award cannot be used in programs which require mandatory cost sharing or matching in accordance with 45 CFR §75.201(b)(2) (effective 10/1/2025: 2 CFR §200.201(b)(2)). Many Federal assistance programs require the recipient to provide a portion of program funding, as specified in Federal law. Please see the NOFO or program-specific supplemental T&Cs for the cost sharing or matching (non-Federal share) requirement.

28. *Indirect Cost*. In accordance with 45 CFR §75.352(a)(4) (effective 10/1/2025: 2 CFR §200.332(a)(4)), pass-throughs must recognize the approved federally recognized indirect cost rate negotiated between the subrecipient and the Federal Government, or if no such rate exists, either a rate negotiated between the recipients and subrecipient or provide a percent de minimis indirect cost rate (10% under 45 CFR §75.414(f) prior to 10/1/2024; effective date 10/1/2024: 15% under 45 CFR §75.320(f); effective date 10/1/2025: 15%

under 2 CFR §200.414) Please direct indirect cost questions to the HHS PSC Division of Cost Allocation Services (CAS), see CAS Contact Us.

29. *Monitoring:*

a. *Contract*. Recipients are responsible for ensuring that contracts contain the applicable provisions described in Appendix II of 45 CFR Part 75 (effective 10/1/2025: 2 CFR Part 200). The recipient is responsible for oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of the contract or purchase order. Records must be maintained by the recipient and be sufficiently detailed for compliance.

b. *Subrecipient*. Recipients are required to advise subrecipients of requirements imposed on them by Federal laws, regulations, and the provisions of award as well as any supplemental requirements imposed by the recipient. These include administrative and audit requirements (where applicable) under 45 CFR Part 75 (effective 10/1/2025: 2 CFR Part 200). The recipient must conduct a risk assessment of subrecipient(s) in accordance with 45 CFR §75.352(b) (effective 10/1/2025: 2 CFR §200.332(b)). Additionally, all subrecipient(s) must obtain a Unique Entity Identifier number assigned by the SAM, if they do not already have one. Recipients are required to check the SAM to verify that the subrecipient(s) is/are not debarred, suspended, or ineligible. Recipients are responsible for monitoring the activities of the subrecipient to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the T&Cs of the subaward, and that subaward performance goals are achieved. "Monitoring by the non-Federal entity must cover each program, function and activity." See 45 CFR §§75.342 and 75.352 (effective 10/1/2015: 2 CFR §§200.329(a) and 200.332). Records must be maintained by the recipient and be sufficiently detailed for compliance. For more information, see item 4.k. *Salary Limitation – Federal Executive Level II* within this Standard T&C.

Should a subrecipient perform unsatisfactorily, the recipient is responsible for remedying subrecipient issues. Recipients of an award will be legally accountable to ACF for performance of the project or program. Recipients will be held solely responsible in the event of non-compliance by a subrecipient. The recipient will be held accountable for cost disallowances regarding subawarded funds. If requirements of the program cannot be met due to subrecipient issues, ACF may take one or more of the actions listed under 45 CFR § 75.371– 75.375 (effective 10/1/2015: 2 CFR §§200.339 – 200.343).

NON-COMPETING CONTINUATIONS

30. Most ACF discretionary awards are funded in increments. These increments are referred to as "non-competing continuations." If the award has multiple budget periods, recipients will be expected to submit non-competing continuation applications for each budget period. If not referenced in the NOA, the ACF Program Office or Grants Office will

provide additional information on what documentation to submit and deadlines for non-competing continuation applications. Deadlines are typically in advance of the start date of the next budget period to allow ACF sufficient time to process the applications.

AUDITS

31. Recipients must arrange for the conduct of audits as required by 45 CFR Part 75, Subpart F – Audit Requirements (effective 10/1/2025: 2 CFR Part 200 Subpart F). For more information, also see ACF Oversight and Monitoring: Audit Reports page.

32. Recipients and pass-through entities, per 45 CFR §§75.352(f) and 75.501(effective 10/1/2025: 2 CFR §200.501), must verify that subrecipients also comply with the audit requirements.

    a. **For-profit subrecipients**. Unless stated otherwise in regulation, guidance, the NOFO, or program-specific supplemental T&Cs, the Subpart F does not apply to for-profit subrecipients. (45 CFR §75.501(h) – (k); effective 10/1/2025: 2 CFR §200.501(h)) However, at a minimum, the recipient and pass-through entity are responsible for establishing requirements to ensure compliance by for-profit subrecipients. The agreement must describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility.

POINTS OF CONTACT

Points of contact for additional information or questions concerning either the operation of the program or related financial or Federal assistance award matters may be found on the NoA. The Program Office contact handles the programmatic specific needs such as program intent, goals and objectives; whereas, the OGM contact typically handles any business, financial, and administrative activities such as budget revisions, prior approval requests, and closeouts.

IMPORTANT ADDRESSES

Administration for Children and Families
Office of Grants Management
330 C Street, SW. Mailstop 3127
Washington, DC 20201

OIG HOTLINE

The OIG of HHS maintains the OIG Hotline, a system for reporting allegations of fraud, waste, abuse and mismanagement in Department of Health and Human Services' programs. Your information will be reviewed by a professional staff member and will remain confidential; you need not provide your name. Information provided through the website is secure and all information is safeguarded against unauthorized disclosure. Report the possible misuse of federal funds by phone or online. Please provide as much detailed information as possible in your report.

Online:	https://oig.hhs.gov/report-fraud
Phone:	800-HHS-TIPS (800-447-8477)
TTY:	800-377-4950
Fax:	800-223-8164

If you are a provider, HHS contractor, HHS recipient or subrecipient and want to self-disclose potential fraud in HHS programs, please visit the *self-disclosure* webpage at: https://oig.hhs.gov/compliance/self-disclosure-info/index.asp.

IMPORTANT WEBSITES

- Welcome To ACF website.
- ACF Award Terms and Conditions.
- HHS Grants website.
- *Congress.gov Congressional Research Service:* Appropriations.
- *General and Permanent Laws*: United States Code (U.S.C.).
- *Federal Regulations*: Electronic Code of Federal Regulations (e-CFR).
- *Congress.gov*: U.S. Federal Legislative Information.

Outlook

FOR ACTION: Updated ACF Standard Terms and Conditions

From Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>

Date Wed 2025-07-30 12:50

To ACF Deputies Group <ACFDeputiesGroup@acf.hhs.gov>; ACF - OGM Management Team <OGMManagementTeam@acf.hhs.gov>; ACF ALL OGM Grants Management Officers <ACFALLOGMGrantsManagementOfficers@acf.hhs.gov>

Cc Abney, Latasha (ACF) <latasha.abney@acf.hhs.gov>; Chamberlain, Brenda (ACF) <brenda.chamberlain@acf.hhs.gov>; James, Aleisha (ACF) <Aleisha.James@acf.hhs.gov>; Killian, Kathy (ACF) <Kathy.Killian@acf.hhs.gov>; Leo, Elizabeth (Beth) (ACF) <Elizabeth.Leo@acf.hhs.gov>; Petruccelli, Anthony J. (ACF) <Anthony.Petruccelli@acf.hhs.gov>; Villamor, Monique (ACF) <Monique.Villamor@acf.hhs.gov>; Williams, Serena L. (ACF) <Serena.Williams@acf.hhs.gov>; Polich, Jeffrey (HHS/OGC) <Jeffrey.Polich@hhs.gov>; ACF Lead Authors and Certifying Officials <ACFLeadAuthorsandCertifyingOfficials@acf.hhs.gov>; Hitt, Linda (ACF) <Linda.Hitt@ACF.hhs.gov>; Woolford, Llewellyn (HHS/OGC) <Llewellyn.Woolford@HHS.GOV>; Scott, Marie (HHS/OGC) <Marie.Scott@hhs.gov>; Balderston, Deirdre (HHS/OGC) <Deirdre.Balderston@hhs.gov>

FOR ACTION:

Office of Administration (OA)
Office of Grants Policy (OGP)

OGP ANNOUNCEMENT

Updated ACF Standard Terms and Conditions

ACTION: The *ACF Standard Terms and Conditions* (T&C) have been updated and are located under the Award Terms and Conditions page. Program Offices and the Office of Grants Management must ensure the updated version is included by reference in all new awards and funded modifications (non-competing continuations, competing continuations, supplements, etc.) that are made on or after 7/29/2025. OGP recommends including T&Cs by reference and using the link to the Award Terms and Conditions page.

SUMMARY: In consultation with Office of General Council (OGC) and the HHS Office of Grants (OG), the *ACF Standard T&C* under the Award Terms and Conditions page has been updated to incorporate the following:

- Added an “Updates” table to note significant changes from the previous version.
- Added a new term and condition under the *Enforcement* heading addressing terminations, including timeframes on which regulation applies as well as basis for terminations.
- Item 7 contains a new term and condition provided in the HHS OG Action Transmittal (AT) 2025-05 for *Antidiscrimination Laws and Requirements*. The previous term and condition which included language on DEI was removed.

- Item 8 *Assurance of Compliance* was added and mirrors the General Counsel's Note: Terms for inclusion in Notice of Awards.

The previous T&C (7/25/2025) has been archived on the Prior Year and Superseded Award Terms and Conditions page.

As a reminder, the *ACF Standard T&C* applies to both discretionary and non-discretionary awards.

CONTACT: Questions may be sent to: Latasha Abney, OGP Director, and/or Beth Leo, OGP Policy Branch.

Department of Health and Human Services
Administration for Children and Families

Notice of Award
Award # 25YCCASDVC
FAIN# 25YCCASDVC
Federal Award Date: July 9, 2025

Recipient Information

1. Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th Street
Suite 910

SACRAMENTO, CALIFORNIA 95814 3616

2. Congressional District of Recipient
*See Remarks

3. Payment Account Number and Type
*See Remarks

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Jennifer Khalifa

jennifer@cpedv.org

8. Authorized Official
*See Remarks

Federal Agency Information

9. Awarding Agency Contact Information
Sona Cook
Grants Management Officer
sona.cook@acf.hhs.gov
214-767-2973

10. Program Official Contact Information
Katherine Chon
Director of the Office on Trafficking in Persons
Family Violence Prevention and Services
katherine.chon@acf.hhs.gov
2027540011

Federal Award Information

11. Award Number
25YCCASDVC

12. Unique Federal Award Identification Number (FAIN)
25YCCASDVC

13. Statutory Authority
FVPS Act, S311

14. Federal Award Project Title
*See Remarks

15. Assistance Listing Number
93.591

16. Assistance Listing Program Title
Family Violence Prevention and Services/State Domestic Violence Coalition

17. Award Action Type
Supplement

18. Is the Award R&D?
*See Remarks

Summary Federal Award	Financial Information
19. Budget Period Start Date 10-01-2024	**End Date** 09-30-2026
20. Total Amount of Federal Funds Obligated by this Action	$13,657.00
20a. Direct Cost Amount	*See Remarks
20b. Indirect Cost Amount Administrative Offset	*See Remarks
21. Authorized Carryover	*See Remarks
22. Offset	*See Remarks
23. Total Amount of Federal Funds Obligated this budget period	$382,407.00
24. Total Approved Cost Sharing or Matching, where applicable	*See Remarks
25. Total Federal and Non-Federal Approved	*See Remarks
26. Project Period Start Date 10-01-2024 -	**End Date** 09-30-2026
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching	*See Remarks

28. Authorized Treatment of Program Income
*See Remarks

29. Grants Management Officer – Signature

Sona Cook
Grants Management Officer

Footnotes

This Award action reflects additional funding available for for the State Domestic Violence Coalition for the 2025 Fiscal Year.

Department of Health and Human Services
Administration for Children and Families

Notice of Award
Award # 25YCCASDVC
FAIN# 25YCCASDVC
Federal Award Date: July 9, 2025

Recipient Information
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th Street
Suite 910
SACRAMENTO, CALIFORNIA 95814 3616
Employer Identification Number (EIN): [redacted]
Data Universal Numbering System (DUNS): [redacted]
Recipient's Unique Entity Identifier: [redacted]
Object Class: 41.15

Financial Information

Appropriation	CAN	Allotment	Award this action	Cumulative Grant Award to Date	Document Number	Funding Type
75-25-1536	2025,G991540	$382,407.00	$13,657.00	$382,407.00	25YCCASDVC	Formula

Terms and Conditions

Terms and Conditions for this program can be found on the Administration for Children & Families website.
The link to the website is listed below:
https://www.acf.hhs.gov/grants/mandatory-formula-block-and-entitlement-grants

Remarks

* This field is intended to be included in the standardized Notice of Award and will be displayed in subsequent quarters.

Access to your notices of award, at your convenience, is now available through GrantSolutions. You may view a recorded training or access quick training guides on the Grant Recipient Support and Reference page.

If you have any questions about accessing grant notices of award utilizing the Unified Experience, please contact the GrantSolutions Help Desk at help@grantsolutions.gov.

From:	Legier, Jamie W. (CDC/OCOO/OFR/OGS)
To:	Byrd, Shirley K. (CDC/OCOO/OFR/OGS)
Cc:	Harper, Carla (CDC/OCOO/OFR/OGS)
Subject:	FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women
Date:	Friday, March 28, 2025 4:03:31 PM
Attachments:	Title IX Defending Women AT 2025-01 signed.pdf

FYI

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, March 28, 2025 3:56 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Chief Grants Management Officers,

The attached Action Transmittal requires you to add a new term and condition language in Notice of Awards (NoAs) for new awards for entities participating in, facilitating, or funding programs implicating Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq. Programs that could implicate Title IX include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | **OS** | **ASFR** | **Office of Grants**
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES

Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-01

Issuance Date: March 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.03.28 15:39:45 -04'00'

SUBJECT: Department of Health and Human Services Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Executive Order 14168 Legal Requirements for Title IX Implicated Recipients of Federal Financial Assistance

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

It is the policy of the United States to recognize two sexes, male and female. This policy is reflected in Executive Order 14168 entitled Defending Women From Gender Ideology Extremism and Restoring Biological Truth in the Federal Government (January 20, 2025). It is also reflected in sex-protective laws found at Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq.

HHS is requiring awarding agencies to ensure financial assistance recipients are compliant with the requirements of these laws and Executive Order 14168.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

For all new awards, HHS awarding agencies must insert the below HHS-approved language in Notices of Award (NoAs) to entities that participate in, facilitate, or fund programs that implicate Title IX. Programs that could implicate Title IX would include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Required Notice of Award Term and Condition Language

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

From: Legier, Jamie W. (CDC/OCOO/OFR/OGS)
To: Byrd, Shirley K. (CDC/OCOO/OFR/OGS)
Cc: Perry, Terrance W. (CDC/OCOO/OFR); Redford, Dana Y. (CDC/OCOO/OFR); Patterson, Sara S. (CDC/PHIC/OD)
Subject: FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-02, GPS Update effective April 16, 2025
Date: Wednesday, April 16, 2025 9:24:38 PM
Attachments: Action Transmittal_GPS Update 2025-02.pdf

Shirley,

FYA

Everyone else: FYI

Jamie

From: Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>
Sent: Wednesday, April 16, 2025 5:30 PM
To: Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>; Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>; Braxton, Makoto (ASPR/ADMIN) <Makoto.Braxton@hhs.gov>; Brookins, Marsha (IHS/HQ) <Marsha.Brookins@ihs.gov>; Bryant, Benjamin (ARPA-H) <benjamin.bryant@arpa-h.gov>; Bulls, Michelle G. (NIH/OD) [E] <michelle.bulls@nih.gov>; Chandler, Tanielle (ACL) <Tanielle.Chandler@acl.hhs.gov>; Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>; Cooper, Renee (HHS/ASFR) <Renee.Cooper@hhs.gov>; Crowley, Alexis L (OIG/OMP) <Alexis.Crowley@oig.hhs.gov>; Genovese, Alissa (HHS/ASFR) <Alissa.Genovese@hhs.gov>; Ghosh, Sudevi (CDC/OGC) <ggq4@cdc.gov>; Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>; Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>; Hakimian, Rina (HHS/OGC) <rina.hakimian@hhs.gov>; Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>; Lorenzo, Felix (HHS/ASFR) <Felix.Lorenzo@hhs.gov>; Moore, Scott (HHS/OASH) <Scott.Moore@hhs.gov>; Nestor, Johanna (HHS/ASFR) <Johanna.Nestor@hhs.gov>; Pendleton, Kimberly (FDA/OC) <Kimberly.Pendleton@fda.hhs.gov>; Tilford, Kevin (HHS/ASFR) <Kevin.Tilford@hhs.gov>; Tucker, Avery (HHS/ASFR) <Avery.Tucker@hhs.gov>; Vollmer, Jason (CMS/OAGM) <jason.vollmer@cms.hhs.gov>; West, Eric (HHS/OASH) <Eric.West@hhs.gov>; Wilburg, Seon (OS/ASTP) <Seon.Wilburg@hhs.gov>; Xu, Tanya (HHS/OGC) <Tanya.Xu@hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-02, GPS Update effective April 16, 2025

Chief Grants Management Officers,

Please see the attached Action Transmittal 2025-02, signed at Dale's direction and on his behalf, that requires agencies to add a new term and condition language in Notice of Awards **effective immediately for new awards** regarding compliance with non-discrimination laws as it relates to:

- DEI/DEIA/Discriminatory equity ideology;
- discriminatory prohibited boycotts related to Israeli companies or companies doing business in or with Israel; and
- Recipient certification via acceptance of the grant award that the recipient does not

engage in such discriminatory behavior.

See full language of the new term of award in the attached Action Transmittal. The GPS has already been updated to reflect this new term, effective today, April 16, 2025 (see pp 18-19). Link: https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-april-2025.pdf

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

Regards,
Chad

Chad T. Clifford
Executive Director, DPOET – Office of Grants
Office of the Secretary - ASFR
U.S. Dept. of Health & Human Services
Phone: 202-360-7318

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> > *(a) DEI means "diversity, equity, and inclusion."*
> >
> > *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
> >
> > *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
> >
> > *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
> >
> > *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
> >
> > *(2) Grant award certification.*
> >
> > > *(a) By accepting the grant award, recipients are certifying that:*
> > >
> > > > *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
> > > >
> > > > *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
> >
> > *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
Atlanta GA 30333

General Terms and Conditions for Research Grants and Cooperative Agreements

Incorporation: The U.S. Department of Health and Human Services (HHS) grant recipients must comply with: all terms and conditions outlined in the Notice of Funding Opportunity (NOFO); their Notice of Award (NOA); grants policy contained in applicable HHS Grants Policy Statements; HHS grant administration regulations (e.g., 45 CFR Part 75, 2 CFR 200 (as applicable)); requirements imposed by program statutes and regulations; applicable Executive Orders; HHS Administrative and National Policy Requirements; HHS policies, directives, and guidance; and requirements or limitations in any applicable appropriations acts. The term grant is used throughout these general terms and conditions of award and includes cooperative agreements.

Note: In the event that any requirement in the NOA, the NOFO, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Civil Rights Assurance

Effective April 16, 2025, all new awards are subject to the Civil Rights Assurance requirement in the HHS Grants Policy Statement, which is available at https://www.hhs.gov/grants-contracts/grants/grants-policies-regulations/index.html.

Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).

(1) Definitions. As used in this clause –

(a) DEI means "diversity, equity, and inclusion."

(b) DEIA means "diversity, equity, inclusion, and accessibility."

(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.

(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.

(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.

(2) Grant award certification.

(a) By accepting the grant award, recipients are certifying that:

(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and

(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.

(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024

This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

FEDERAL REGULATIONS AND POLICIES

2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Referenced where indicated and applicable.
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. https://www.ecfr.gov/cgi-bin/text- idx?node=pt45.1.75&rgn=div5

HHS Administrative and National Policy Requirements
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

HHS Grants Policy and Regulations. https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html

HHS Grants Policy Statement (effective for new, continuation, and supplemental awards made on or after October 1, 2024)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-october-2024.pdf

HHS Grants Policy Statement (January 2007 version applies to awards issued before October 1, 2024)
https://public3.pagefreezer.com/browse/HHS.gov/27-09-2024T06:59/https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Federal Funding Accountability and Transparency Act (FFATA). https://sam.gov/fsrs.
Refer to the section below on Reporting Requirements for more details.

Trafficking In Persons: Consistent with 2 CFR 175, awards are subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175

FUNDING RESTRICTIONS AND LIMITATIONS

Human Subjects: Under governing regulations, federal funds administered by the Department of Health and Human Services shall not be expended for research involving human subjects, and individuals shall not be enrolled in such research, without prior approval by the Office for Human Research Protection (OHRP) of an assurance to comply with the requirements of 45 CFR Part 46 to protect human research subjects. Whenever an institution receives funding from an HHS agency to support such research, the awardee institution bears the ultimate responsibility for protecting human subjects under the award. Compliance for all performance sites must be ensured by the awardee.

All recipients of CDC grants and cooperative agreements and their performance sites engaged in research involving human subjects must obtain 1) a Federal wide Assurance (FWA) of Protection for Human Subjects from OHRP and 2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board (IRB). For instructions on registering IRBs and obtaining FWAs, see the OHRP website at: https://www.hhs.gov/ohrp.

Cost Limitations as Stated in Appropriations Acts. Recipients must follow the fiscal year

appropriations law in effect at the time of award and consistent with the specific funds provided under that award. The general provisions for grants, cooperative agreements and loans funded by the Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act is available at: https://www.congress.gov/resources/display/content/Appropriations+and+Budget.

Though Recipients are required to comply with all applicable appropriations restrictions, please find below specific ones of note. CDC notes that the cited section for each below provision may change annually.

A. Cap on Salaries (Division H, Title II, General Provisions, Sec. 202): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

   Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS award or order; it merely limits the portion of that salary that may be paid with federal funds. The HHS Grants Policy Statement further explains the application of this salary rate limitation.

B. Gun Control Prohibition (Div. H, Title II, Sec. 210): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

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

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive- legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future federal, State or local tax

increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Anti-Lobbying Restrictions for CDC Grantees https://www.cdc.gov/grants/documents/Anti-Lobbying-Restrictions.pdf.

D. Blocking access to pornography (Div. H, Title V, Sec. 520): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

E. Needle Exchange (Div. H, Title V, Sec. 526): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR 200.216): For all new, non-competing continuation, renewal or supplemental awards issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending grant funds (to include direct and indirect expenditures as well as cost share and program funds) to:

1. Procure or obtain,
2. Extend or renew a contract to procure or obtain; or
3. Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in 2 CFR 200.216, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
    iii. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

President's Emergency Plan for AIDS Relief (PEPFAR) funding is exempt from the prohibition under 2 CFR 200.216 until September 30, 2028. During the exemption period, PEPFAR recipients

are expected to work toward implementation of 2 CFR 200.216. The exemption may only be applied when there is no available alternative eligible source for these services.

Certificate of Confidentiality: Institutions and investigators are responsible for determining whether research they conduct is subject to Section 301(d) of the Public Health Service (PHS) Act. Section 301(d), as amended by Section 2012 of the 21st Century Cures Act, P.L. 114-255 (42 U.S.C. 241(d)), states that the Secretary shall issue Certificates of Confidentiality (Certificates) to persons engaged in biomedical, behavioral, clinical, or other research activities in which identifiable, sensitive information is collected. In furtherance of this provision, CDC supported research commenced or ongoing after December 13, 2016 in which identifiable, sensitive information is collected, as defined by Section 301(d), is deemed issued a Certificate and therefore required to protect the privacy of individuals who are subjects of such research. Certificates issued in this manner will not be issued as a separate document but are issued by application of this term and condition to the award. See additional information on requirements at: https://www.cdc.gov/grants/additional-requirements/ar- 36.html.

Dual Use Research of Concern: On September 24, 2014, the Federal government issued a policy for the oversight of life sciences "Dual Use Research of Concern" (DURC) and required this policy to be implemented by September 24, 2015. The DURC policy can be found at https://www.phe.gov/s3/dualuse/Pages/default.aspx. The DURC policy applies to recipients in the United States who receive Federal funding for life sciences research and who conduct or sponsor research involving one or more of the 15 agents or toxins listed in the policy. This policy also applies to foreign recipients who receive Federal funding to conduct or sponsor research involving one of these 15 agents or toxins. Research funded by CDC involving these agents or toxins must be reviewed to determine if it involves one or more of the listed experimental effects and if so, whether it meets the definition of DURC. This review must be completed by an Institutional Review Entity (IRE) identified by the funded institution. Many institutions task their Institutional Biosafety Committees with this responsibility. See additional information on requirements at: https://www.cdc.gov/grants/additional-requirements/ar-33.html.

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

Awards that Involve Procurement of Synthetic Nucleic Acids for Benchtop Synthesizers: Beginning April 26, 2025, HHS funds may only be used to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment from sources adhering to the Office of Science and Technology Policy Framework for Nucleic Acid Synthesis Screening. HHS awardees are expected to adhere to the Office of Science and Technology Policy Framework for Nucleic Acid Synthesis Screening for HHS projects.

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted no later than 90 days after the end of the budget period in

the Payment Management System.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

If more frequent reporting is required, the Notice of Award terms and conditions will explicitly state the reporting requirement.

Annual Performance Reporting: The Research Performance Progress Report (RPPR) serves as the annual performance report and is due no later than (NLT) 120 days prior to the end of the budget period, or the date identified in the guidance distributed by the GMS/GMO. This report also serves as the continuation application.

The RPPR is completed using the NIH eRA Commons system. Refer to the "NIH and Other PHS Agency RPPR Instruction Guide" at https://grants.nih.gov/grants/rppr/index.htm for detailed instructions on completing the report. There are no forms available for download, however instructions on submitting RPPR information are available in the NIH RPPR Instruction Guide. Recipients can find further information on the RPPR at: https://grants.nih.gov/grants/rppr/index.htm.

Recipients must also submit a final RPPR for closeout purposes.

Data Collection and Sharing Under Award: Consistent with strategies and activities expected and anticipated under this award, Recipient, either directly or indirectly, may be expected to collect or generate data for public health purposes. For purposes of this award, data for public health purposes may be administrative data or data commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation, but does not include preliminary analyses, drafts of scientific papers, plans for future research communications with colleagues, or physical objects, such as laboratory notebooks or laboratory specimens unless otherwise specified in the award.

45 C.F.R. 75.322(d) states that the federal government has the right to: 1) obtain, reproduce, publish, or otherwise use the data produced under a federal award; and 2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes. In furtherance of various United States Government-wide initiatives and policies, the federal government seeks to make federally funded publications and data underlying them more readily available, and to make public health data more readily accessible within the federal government and to the public.

Consistent with grant regulations, CDC may legally obtain a copy of any data collected or generated under this award. Where CDC has determined that data collected or generated under this award must be shared with CDC, such direction will be further addressed in your Notice of Funding Opportunity, your Notice of Grant Award, or other specific grant guidance. Acceptance of funds under this award is an acknowledgement of this regulatory provision and its application to this award.

Data Management Plan: CDC requires recipients for projects that involve the collection or generation of data with federal funds to develop, submit, and comply with a Data Management Plan (DMP) for each collection or generation of public health data undertaken as part of the award. The

DMP should take into consideration sharing data with CDC including: 1) the specific data that will be shared under the award, 2) the process and timing planned for such sharing, 3) and any legal limitations that the Recipient asserts would hinder CDC access to, or use of, the data collected or generated under the award. In addition, the DMP should address broader access to and archiving/long-term preservation of collected or generated data. Additional information on the Data Management and Access requirements can be found at https://www.cdc.gov/grants/additional-requirements/ar- 25.html.

Audit Requirement Domestic Organizations *(including US-based organizations implementing projects with foreign components)*: An organization that expends $1,000,000 or more in a fiscal year in federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission:
https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART), ORMIC.Audit.Resolution@cdc.gov.

Audit Requirement Foreign Organizations: A foreign organization that expends $300,000 or more in a fiscal year on its federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed in English and in US dollars, and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to the Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART) at ORMIC.Audit.Resolution@cdc.gov. After receipt of the audit report, CDC will resolve findings by issuing Final Management Determination Letters.

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

Federal Funding Accountability and Transparency Act (FFATA)
In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation

Information, Prime Recipients 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 recipient awards any sub-grant equal to or greater than $30,000. Refer to 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information at eCFR :: 2 CFR Part 170 -- Reporting Subaward and Executive Compensation Information and https://sam.gov/fsrs for reporting requirements and guidance.

Unique Entity Identifier (UEI)
The UEI is the official identifier for doing business with the U.S. Government as of April 4, 2022. The UEI is generated and assigned by the System for Award Management at SAM.gov. In accordance with 2 CFR part 25, Appendix A, a recipient must maintain current information in SAM.gov, through at least annual review, until it submits the final required financial report or receives the final payment, whichever is later.

Required Disclosures for Responsibility and Qualification (R/Q) (SAM.gov): 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 assigned GMS/GMO identified in the NOA, and to the HHS OIG by email at grantdisclosures@oig.hhs.gov or by mail to the following address:

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 527
Washington, DC 20201

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 include 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 Responsibilities and Qualifications (R/Q) accessible through SAM (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)).

1. *General Reporting Requirement*

   If the total value of currently active grants, cooperative agreements, and procurement

contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, the recipient must maintain the currency of information reported to the System for Award Management (SAM) and made available in the designated integrity and performance system (currently the Responsibility/Qualification (R/Q) through SAM.gov) about civil, criminal, or administrative proceedings described in section 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C.2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the federal government;

b. Reached its final disposition during the most recent five-year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in section 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under federal procurement contracts that you were awarded.

4. Reporting Frequency

During any period of time when you are subject to this requirement in section 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. *Definitions*

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and State level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the federal share of the funding under any federal award with a recipient cost share or match;

(2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

GENERAL REQUIREMENTS

You will administer your project in compliance with the HHS Administrative and National Policy Requirements found at https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf.

Termination (45 CFR Part 75.372) applies to this award and states, in part, the following:

(a) This award may be terminated in whole or in part:

(1) By the HHS awarding agency or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Travel Cost: In accordance with HHS Grants Policy Statement, travel costs are allowable when the travel will provide a direct benefit to the project or program. To prevent disallowance of cost, the recipient is responsible for ensuring travel costs are clearly stated in their budget narrative and are applied in accordance with their organization's established travel policies and procedures. The recipient's established travel policies and procedures must also meet the requirements of 45 CFR Part 75.474.

Food and Meals: Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies. See https://www.hhs.gov/grants/contracts/contract-policies-regulations/spending-on-food/index.html. In addition, costs must be clearly stated in the budget narrative and be consistent with organization approved policies. Recipients must make a determination of reasonableness and organization approved policies must meet the requirements of 45 CFR Part 75.432.

Prior Approval: All requests, which require prior approval, must bear the signature (or electronic authorization) of the authorized organization representative. The recipient should submit these requests no later than 120 days prior to the budget period's end date to ensure ample time remains to process and carry-out the request. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests are examples of actions that require prior approval, unless an expanded authority, or conversely a high-risk condition, is explicitly indicated in the NOA.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction
- Significant redirection of funds (i.e., cumulative changes of 25% of total award)
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Extensions to period of performance

Templates for prior approval requests can be found at: https://www.cdc.gov/grants/already-have-grant/PriorApprovalRequests.html.

Recipient Contractual/Consultant Cost Agreements: In accordance with 45 CFR 75.333, all supporting documentation related to the contractual/consultant elements outlined in the Budget

Preparation Guidelines must be maintained by the recipient and available upon request. Recipients may submit supporting documentation via email to the assigned Grants Management Specialist (GMS) and Scientific Project Officer/Project Officer (SPO/PO).

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

Inventions: Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR Part 401.14. Invention reporting responsibilities also are summarized in the HHS Grants Policy Statement, *Exhibit 9. Extramural Invention Reporting Compliance Responsibilities*. CDC requires invention reporting electronically through iEdison, which is available at https://www.nist.gov/iedison.

In addition to complying with Bayh-Dole-related regulations (37 CFR Part 401), each continuation annual performance report for CDC awards must indicate whether or not any subject inventions were made during the preceding budget period.

Information on submitting the Final Invention Statement is located below in the *Closeout Requirements* section of these terms and conditions.

Acknowledgment of Federal Funding: When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents --such as tool-kits, resource guides, websites, and presentations (hereafter “statements”) --describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

> This [**project/publication/program/website, etc**.] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with 100 percent funded by CDC/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The HHS Grant or Cooperative Agreement IS partially funded with other non-governmental sources:

> This [**project/publication/program/website, etc.**] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with **XX** percentage funded by CDC/HHS and **$XX** amount and **XX** percentage funded by non- government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement.

Any amendments by the recipient to the acknowledgement statement must be coordinated with the HHS Awarding Agency.

If the recipient plans to issue a press release concerning the outcome of activities supported by HHS financial assistance, it should notify the HHS Awarding Agency in advance to allow for coordination.

Copyright Interests Provision: This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available without any embargo or delay after publication. Also, at the time of submission, Recipient and/or the Recipient's submitting author must post the manuscript through PubMed Central (PMC) without any embargo or delay after publication. The recipient must obtain prior approval from the CDC for any exception to this provision.

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

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar 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 reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Logo Use for Conference and Other Materials: Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. As a general matter, a non-federal entity is not authorized to use the HHS name or logo. Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). The appropriate use of the HHS logo is subject to review and approval of the HHS Assistant Secretary for Public Affairs (ASPA), and if granted would be governed by a logo license agreement setting forth the terms and conditions of use.

Additionally, the CDC logo cannot be used by the recipient without the express, written consent of CDC, generally in the form of a logo license agreement setting forth the terms and conditions of use. The Program Official/Project Officer identified in the NOA can assist with facilitating such a request. It is the responsibility of the recipient 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 recipient must ensure written consent is received.

Equipment and Products: To the greatest extent practical, 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 $10,000 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 recipient may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

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

FISMA applies to CDC recipients only when recipients 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 recipient retains the original data and intellectual property, and is responsible for the security of

these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a recipient 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: https://www.gpo.gov/fdsys/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf.

Whistleblower Protections: As a recipient of this award you must comply with the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, 41 U.S.C. § 4712) "Enhancement of contractor protection from reprisal for disclosure of certain information," and 48 CFR part 3 subpart 3.9, "Whistleblower Protections for Contractor Employees." For more information see: https://oig.hhs.gov/fraud/whistleblower/.

Public Health Service Policies on Research Misconduct: CDC-funded projects must comply with 42 CFR Part 93, PHS Policies on Research Misconduct, Subpart C, "Responsibilities of Institutions." 42 CFR Part 93, Subpart C specifies recipient responsibilities to have written policies and procedures for addressing allegations of research misconduct, to file and maintain an Assurance of Compliance with the HHS Office of Research Integrity (https://ori.hhs.gov/) and take all reasonable and practical steps to foster research integrity.

Inclusion of Persons Under the Age of 21 in Research: It is CDC's policy that persons under the age of 21 must be included in all human subjects research that is conducted or supported by CDC, unless there are scientific and ethical reasons not to include them. This policy applies to all CDC-conducted or CDC-supported research involving human subjects, including research that is otherwise exempt in accordance with Sections 101(b) and 401(b) of 45 C.F.R. Part 46, HHS Policy for the Protection of Human Subjects. Therefore, proposals for research involving human subjects must include a description of plans for including persons under the age of 21. If persons under the age of 21 will be excluded from the research, the application or proposal must present an acceptable justification for the exclusion. Additional information is available at https://www.cdc.gov/grants/additional-requirements/ar-28.html.

Cybersecurity Requirements: Recipients shall develop plans and procedures, modeled after the NIST Cybersecurity framework, to protect HHS and CDC systems and data, if the following conditions are met: 1) recipients, subrecipients, or third-party entities have ongoing and consistent access to HHS owned or operated information or operational technology systems and 2) recipients, subrecipients, or third-party entities receive, maintain, transmit, store, access, exchange, process, or utilize personal identifiable information (PII) or personal health information (PHI) obtained from the awarding HHS agency for the purposes of executing the award. Where both conditions exist, recipients must develop cybersecurity plans and procedures modeled after the NIST Cybersecurity framework (https://www.nist.gov/cyberframework) to protect HHS systems and data.

PAYMENT INFORMATION

Fraud Waste or Abuse: 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 online at

https://tips.oig.hhs.gov/ or by mail to U.S. Department of Health and Human Services, Office of the Inspector General, Attn: OIG HOTLINE OPERATIONS, P.O. Box 23489 Washington DC 20026. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. For additional information, see: https://oig.hhs.gov/fraud/report-fraud/.

Automatic Drawdown (Direct/Advance Payments): Payments under CDC awards will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS), under automatic drawdown, unless specified otherwise in the NOA. Recipients must comply with requirements imposed by the PMS on-line system. Questions concerning award payments or audit inquiries should be directed to the payment management services office.

PMS Website: https://pms.psc.gov/
PMS Phone Support: +1(877)614-5533
PMS Email Support: PMSSupport@psc.gov

Payment Management System Subaccount: Funds awarded in support of approved activities will be obligated in an established subaccount in the PMS. 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.

Exchange Rate: All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC will not generally compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

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

Certification Statement: By drawing down funds, the recipient 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 in the NOFO, outlined in their NOA, 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

In accordance with 2 CFR 200.344, recipients must submit all closeout reports identified in this section within 120 days of the period of performance end date. The reporting timeframe is the full period of performance. If the recipient does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, CDC may proceed to close out with the

information available within one year of the period of performance end date unless otherwise directed by authorizing statutes. 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). If recipients do not submit all closeout reports identified in this section within one year of the period of performance end date, then CDC must report recipients' material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently Responsibility/Qualification section of SAM.gov). CDC may also pursue other enforcement actions per 45 CFR 75.371.

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

The final reports required are the following:

Final Research Performance Progress Report: The Final RPPR is completed using the NIH eRA Commons system. Refer to the "NIH and Other PHS Agency RPPR Instruction Guide" at https://grants.nih.gov/grants/rppr/index.htm for detailed instructions on completing the report. There are no forms available for download, however instructions on submitting the Final RPPR information are available in the NIH RPPR Instruction Guide.

Recipients can find further information on the RPPR at: https://grants.nih.gov/grants/rppr/index.htm.

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds authorized and expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date through recipient online accounts in the Payment Management System. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

Every recipient should already have a PMS account to allow access to complete the SF-425.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of $10,000 or more. Electronic versions of the forms can be downloaded by visiting: https://www.grants.gov/forms/forms-repository/post-award-reporting-forms.

If no equipment was acquired under an award, a negative report is required.

The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than $10,000 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 (see 2 CFR 200.313(e)(1)).

Final Invention Statement: A Final Invention Statement must be submitted. Electronic versions of the form can be downloaded by visiting https://grants1.nih.gov/grants/hhs568.pdf.

If no inventions were conceived under an assistance award, a negative report is required. This statement may be included in a cover letter.

CDC STAFF RESPONSIBILITIES

Roles and Responsibilities: Grants Management Specialists/Officers (GMO/GMS) and Program Officials (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.

Scientific Program Official: The SPO is the federal official responsible for the normal scientific and programmatic stewardship of grants and cooperative agreements including:

- Being named as the Scientific Program Official to provide oversight and assure overall scientific and programmatic stewardship of the award;
- Collaborating, as appropriate, with the recipient in all stages of the program, and providing post-award scientific review and administrative guidance;
- Monitoring performance against approved project objectives;
- Making recommendations on requests for changes in scope, objectives, and/or budgets that deviate from the approved peer-reviewed application;
- Assessing the public health impact of the research conducted under this funding opportunity announcement and promoting translation of promising practices, programs, interventions, and other results from the research; and
- Serving as the primary point of contact on official award-related activities, including an annual review of the grantee's performance as part of the request for continuation application.

For Cooperative Agreements, substantial involvement is required from CDC. The SPO is the federal official responsible for the collaboration or participation in carrying out the effort under the award. Substantial involvement may include, but is not limited to:

- Review and approval of one stage of work before work can begin on a subsequent stage;
- Review and approval of substantive programmatic provisions of proposed subawards or contracts (beyond existing federal review of procurement or sole source policies);
- Involvement in the selection of key relevant personnel;
- CDC and recipient collaboration or joint participation; and
- Implementing highly prescriptive requirements prior to award limiting recipient discretion with respect to scope of services, organizational structure, staffing, mode of operation, and other management processes.

Grants Management Officer: 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. 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 NOFO;
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy;
- Ensuring recipient compliance with applicable laws, regulations, and policies;
- Negotiating awards, including budgets;
- Responding to recipient inquiries regarding the business and administrative aspects of an award;
- Providing recipients 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, budget redirection, or changes to the terms and conditions of an award; and
- Maintaining the official grant file and program book.

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 in the GMO section are performed by the GMS, on behalf of the GMO.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
Atlanta GA 30333

General Terms and Conditions for Non-Research Grants and Cooperative Agreements

Incorporation: The U.S. Department of Health and Human Services (HHS) grant recipients must comply with: all terms and conditions outlined in the Notice of Funding Opportunity (NOFO); their Notice of Award (NOA); grants policy contained in applicable HHS Grants Policy Statements; HHS grant administration regulations (e.g., 45 CFR Part 75, 2 CFR 200 (as applicable)); requirements imposed by program statutes and regulations; applicable Executive Orders; HHS Administrative and National Policy Requirements; HHS policies, directives, and guidance; and requirements or limitations in any applicable appropriations acts. The term grant is used throughout these general terms and conditions of award and includes cooperative agreements.

Note: In the event that any requirement in the NOA, the NOFO, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Civil Rights Assurance

Effective April 16, 2025, all new awards are subject to the Civil Rights Assurance requirement in the HHS Grants Policy Statement, which is available at https://www.hhs.gov/grants-contracts/grants/grants-policies-regulations/index.html.

Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).

(1) Definitions. As used in this clause –

(a) DEI means "diversity, equity, and inclusion."

(b) DEIA means "diversity, equity, inclusion, and accessibility."

(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.

(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.

(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.

(2) Grant award certification.

(a) By accepting the grant award, recipients are certifying that:

(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and

(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.

(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024

This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

FEDERAL REGULATIONS AND POLICIES

2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Referenced where indicated and applicable.
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. https://www.ecfr.gov/cgi-bin/text- idx?node=pt45.1.75&rgn=div5

HHS Administrative and National Policy Requirements
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

HHS Grants Policy and Regulations
https://www.hhs.gov/grants/grants/grants-policies- regulations/index.html

HHS Grants Policy Statement (effective for new, continuation, and supplemental awards made on or after October 1, 2024)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-october-2024.pdf

HHS Grants Policy Statement (January 2007 version applies to awards issued before October 1, 2024)
https://public3.pagefreezer.com/browse/HHS.gov/27-09-2024T06:59/https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Federal Funding Accountability and Transparency Act (FFATA). https://sam.gov/fsrs.
Refer to the section below on Reporting Requirements for more details.

Trafficking In Persons: Consistent with 2 CFR 175, awards are subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175

FUNDING RESTRICTIONS AND LIMITATIONS

Cost Limitations as stated in Appropriations Acts. Recipients must follow applicable fiscal year appropriations law in effect at the time of award and consistent with the specific funds provided under that award. The general provisions for grants, cooperative agreements and loans funded by the Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act is available at: https://www.congress.gov/resources/display/content/Appropriations+and+Budget.

Though Recipients are required to comply with all applicable appropriations restrictions, please find below specific ones of note. CDC notes that the cited section for each below provision may change annually.

A. Cap on Salaries (Division H, Title II, General Provisions, Sec. 202): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS award or order; it merely limits the portion of that salary that may be paid with federal funds. The HHS Grants Policy Statement further explains the

application of this salary rate limitation.

B. Gun Control Prohibition (Div. H, Title II, Sec. 210): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

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

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive- legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future federal, state or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Anti-Lobbying Restrictions for CDC Grantees at https://www.cdc.gov/grants/documents/Anti-Lobbying-Restrictions.pdf.

D. Blocking access to pornography (Div. H, Title V, Sec. 520): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

E. Needle Exchange (Div. H, Title V, Sec. 526): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR 200.216)**:** For all new, non-competing continuation, renewal or supplemental awards issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending grant funds (to include direct and indirect expenditures as well as cost share and program funds) to:

1. Procure or obtain,
2. Extend or renew a contract to procure or obtain; or
3. Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in 2 CFR 200.216, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
    iii. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

President's Emergency Plan for AIDS Relief (PEPFAR) funding is exempt from the prohibition under 2 CFR 200.216 until September 30, 2028. During the exemption period, PEPFAR recipients are expected to work toward implementation of 2 CFR 200.216. The exemption may only be applied when there is no available alternative eligible source for these services.

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

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted no later than 90 days after the end of the budget period in the Payment Management System.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

If more frequent reporting is required, the Notice of Award terms and conditions will explicitly state

the reporting requirement.

Annual Performance Progress and Monitoring Reporting: The Annual Performance Progress and Monitoring Report (PPMR) is due no later than 120 days prior to the end of the budget period and serves as the continuation application for the follow-on budget period. Submission instructions, due date, and format will be included in the guidance from the assigned GMO/GMS via www.grantsolutions.gov.

Any change to the existing information collection noted in the award terms and conditions will be subject to review and approval by the Office of Management and Budget (OMB) under the Paperwork Reduction Act.

Data Collection and Sharing Under Award: Consistent with strategies and activities expected and anticipated under this award, Recipient, either directly or indirectly, may be expected to collect or generate data for public health purposes. For purposes of this award, data for public health purposes may be administrative data or data commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation, but does not include preliminary analyses, drafts of scientific papers, plans for future research communications with colleagues, or physical objects, such as laboratory notebooks or laboratory specimens unless otherwise specified in the award.

45 C.F.R. 75.322(d) states that the federal government has the right to: 1) obtain, reproduce, publish, or otherwise use the data produced under a federal award; and 2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes. In furtherance of various United States Government-wide initiatives and policies, the federal government seeks to make federally funded publications and data underlying them more readily available, and to make public health data more readily accessible within the federal government and to the public. Consistent with grant regulations, CDC may legally obtain a copy of any data collected or generated under this award. Where CDC has determined that data collected or generated under this award must be shared with CDC, such direction will be further addressed in your Notice of Funding Opportunity, your Notice of Grant Award, or other specific grant guidance. Acceptance of funds under this award is an acknowledgement of this regulatory provision and its application to this award.

Data Management Plan: CDC requires recipients for projects that involve the collection or generation of data with federal funds to develop, submit, and comply with a Data Management Plan (DMP) for each collection or generation of public health data undertaken as part of the award. The DMP should take into consideration sharing data with CDC including: 1) the specific data that will be shared under the award, 2) the process and timing planned for such sharing, 3) and any legal limitations that the Recipient asserts would hinder CDC access to, or use of, the data collected or generated under the award. In addition, the DMP should address broader access to and archiving/long-term preservation of collected or generated data. Additional information on the Data Management and Access requirements can be found at https://www.cdc.gov/grants/additional-requirements/ar-25.html.

Audit Requirement Domestic Organizations *(including US-based organizations implementing projects with foreign components)*: An organization that expends $1,000,000 or more in a fiscal year in federal awards shall have a single or program-specific audit conducted for that year in

accordance with the provisions of 2 CFR 200.501. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission:
https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART), ORMIC.Audit.Resolution@cdc.gov.

Audit Requirement Foreign Organizations: A foreign organization that expends $300,000 or more in a fiscal year on its federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed in English and in US dollars and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to the Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART) at ORMIC.Audit.Resolution@cdc.gov. After receipt of the audit report, CDC will resolve findings by issuing Final Management Determination Letters.

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

Federal Funding Accountability and Transparency Act (FFATA)
In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information, Prime Recipients 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 recipient awards any sub-grant equal to or greater than $30,000. Refer to 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information at eCFR :: 2 CFR Part 170 -- Reporting Subaward and Executive Compensation Information and https://sam.gov/fsrs for reporting requirements and guidance.

Unique Entity Identifier (UEI)
The UEI is the official identifier for doing business with the U.S. Government as of April 4, 2022. The UEI is generated and assigned by the System for Award Management at SAM.gov. In accordance with 2 CFR part 25, Appendix A, a recipient must maintain current information in SAM.gov, through at least

annual review, until it submits the final required financial report or receives the final payment, whichever is later.

Required Disclosures for Responsibility and Qualification (R/Q) (SAM.gov): 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 assigned GMS/GMO identified in the NOA, and to the HHS OIG by email at grantdisclosures@oig.hhs.gov or by mail to the following address:

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

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 include 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 Responsibilities and Qualifications (R/Q) accessible through SAM (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)).

1. *General Reporting Requirement*

   If the total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, the recipient must maintain the currency of information reported to the System for Award Management (SAM) and made available in the designated integrity and performance system (currently the Responsibility/Qualification (R/Q) through SAM.gov) about civil, criminal, or administrative proceedings described in section 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. *Proceedings About Which You Must Report*

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the federal government;

b. Reached its final disposition during the most recent five-year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in section 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under federal procurement contracts that you were awarded.

4. Reporting Frequency

During any period of time when you are subject to this requirement in section 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in

order to make a determination of fault or liability (*e.g.*, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and state level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the federal share of the funding under any federal award with a recipient cost share or match;

(2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

GENERAL REQUIREMENTS

You will administer your project in compliance with the HHS Administrative and National Policy Requirements found at https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf.

Termination (45 CFR Part 75.372) applies to this award and states, in part, the following:

This award may be terminated in whole or in part:

(1) By the HHS awarding agency or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated.

However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Travel Cost: In accordance with HHS Grants Policy Statement, travel costs are allowable when the travel will provide a direct benefit to the project or program. To prevent disallowance of cost, the recipient is responsible for ensuring travel costs are clearly stated in their budget narrative and are applied in accordance with their organization's established travel policies and

procedures. The recipient's established travel policies and procedures must also meet the requirements of 45 CFR Part 75.474.

Food and Meals: Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies. See https://www.hhs.gov/grants/contracts/contract-policies-regulations/spending-on-food/index.html. In addition, costs must be clearly stated in the budget narrative and be consistent with organization approved policies. Recipients must make a determination of reasonableness and organization approved policies must meet the requirements of 45 CFR Part 75.432.

Prior Approval: All requests which require prior approval, must bear the signature (or electronic authorization) of the authorized organization representative. The recipient should submit these requests no later than 120 days prior to the budget period's end date to ensure ample time remains to process and carry-out the request. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests are examples of actions that require prior approval, unless an expanded authority, or conversely a high-risk condition, is explicitly indicated in the NOA.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction
- Significant redirection of funds (i.e., cumulative changes of 25% of total award)
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Extensions to period of performance

Templates for prior approval requests can be found at: https://www.cdc.gov/grants/already-have-grant/PriorApprovalRequests.html.

Additional information on the electronic grants administration system CDC non-research awards utilize, GrantSolutions, can be found at: https://www.cdc.gov/grants/grantsolutions/index.html.

Recipient Contractual/Consultant Cost Agreements: In accordance with §2 CFR 200.325, all supporting documentation related to the elements outlined in the Budget Preparation Guidelines must be maintained by the recipient and available upon request. Recipients may submit supporting documentation via GrantSolutions Grants Management Services (GSGMS) Grant Notes to the assigned Grants Management Specialist.

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

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

Acknowledgment of Federal Funding: When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents --such as toolkits, resource guides, websites, and presentations (hereafter “statements”) --describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

> This [**project/publication/program/website, etc**.] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with 100 percent funded by CDC/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

If the HHS Grant or Cooperative Agreement IS partially funded with other non-governmental sources:

> This [**project/publication/program/website, etc.]** [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with **XX** percentage funded by CDC/HHS and **$XX** amount and **XX** percentage funded by non- government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement.

Any amendments by the recipient to the acknowledgement statement must be coordinated with the HHS Awarding Agency.

If the recipient plans to issue a press release concerning the outcome of activities supported by HHS financial assistance, it should notify the HHS Awarding Agency in advance to allow for coordination.

Copyright Interests Provision: This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available without any embargo or delay after publication. Also, at the time of submission, Recipient and/or the Recipient's submitting author must also post the manuscript through PubMed Central (PMC) without any embargo or delay after publication. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted article reserve adequate right to fully comply with this provision and the license reserved by CDC.

The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar 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 reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Logo Use for Conference and Other Materials: Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. As a general matter, a non-federal entity is not authorized to use the HHS name or logo. Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). The appropriate use of the HHS logo is subject to review and approval of the HHS Assistant Secretary for Public Affairs (ASPA), and if granted would be governed by a logo license agreement setting forth the terms and conditions of use.

Additionally, the CDC logo cannot be used by the recipient without the express, written consent of CDC, generally in the form of a logo license agreement setting forth the terms and conditions of use. The Program Official/Project Officer identified in the NOA can assist with facilitating such

a request. It is the responsibility of the recipient 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 recipient must ensure written consent is received.

Equipment and Products: To the greatest extent practical, 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 $10,000 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 recipient may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

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

FISMA applies to CDC recipients only when recipients 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 recipient retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a recipient 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: https://www.govinfo.gov/content/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf.

Whistleblower Protections: As a recipient of this award, you must comply with the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, 41 U.S.C. § 4712) "Enhancement of contractor protection from reprisal for disclosure of certain information," and 48 CFR part 3 subpart 3.9, "Whistleblower Protections for Contractor Employees." For more information see: https://oig.hhs.gov/fraud/whistleblower/.

Cybersecurity Requirements: Recipients shall develop plans and procedures, modeled after the NIST Cybersecurity framework, to protect HHS and CDC systems and data, if the following conditions are met: 1) recipients, subrecipients, or third-party entities have ongoing and consistent access to HHS owned or operated information or operational technology systems and 2) recipients, subrecipients, or third-party entities receive, maintain, transmit, store, access, exchange, process, or utilize personal

identifiable information (PII) or personal health information (PHI) obtained from the awarding HHS agency for the purposes of executing the award. Where both conditions exist, recipients must develop cybersecurity plans and procedures modeled after the NIST Cybersecurity framework (https://www.nist.gov/cyberframework) to protect HHS systems and data.

PAYMENT INFORMATION

Fraud Waste or Abuse: 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 online at https://tips.oig.hhs.gov/ or by mail to U.S. Department of Health and Human Services, Office of the Inspector General, Attn: OIG HOTLINE OPERATIONS, P.O. Box 23489 Washington DC 20026. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.

For additional information, see: https://oig.hhs.gov/fraud/report-fraud/.

Automatic Drawdown (Direct/Advance Payments): Payments under CDC awards will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS), under automatic drawdown, unless specified otherwise in the NOA. Recipients must comply with requirements imposed by the PMS on-line system. Questions concerning award payments or audit inquiries should be directed to the payment management services office.

PMS Website: https://pms.psc.gov/
PMS Phone Support: +1(877)614-5533
PMS Email Support: PMSSupport@psc.gov

Payment Management System Subaccount: Funds awarded in support of approved activities will be obligated in an established subaccount in the PMS. 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.

Exchange Rate: All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC will generally not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

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

Certification Statement: By drawing down funds, the recipient 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 in the NOFO, outlined in their NOA, 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

In accordance with 2 CFR 200.344, recipients must submit all closeout reports identified in this section within 120 days of the period of performance end date. The reporting timeframe is the full period of performance. If the recipient does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, CDC may proceed to close out with the information available within one year of the period of performance end date unless otherwise directed by authorizing statutes. 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). If recipients do not submit all closeout reports identified in this section within one year of the period of performance end date, then CDC must report recipients' material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently Responsibility/Qualification section of SAM.gov). CDC may also pursue other enforcement actions per 45 CFR 75.371.

Final Performance Progress and Evaluation Report (PPER): This report should include the information specified in the NOFO and is submitted upon solicitation from the GMS/GMO via www.grantsolutions.gov. At a minimum, the report will include the following:

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

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

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds authorized and expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date through recipient online accounts in the Payment Management System. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

Every recipient should already have a PMS account to allow access to complete the SF-425.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under

this project with a unit acquisition cost of $10,000 or more. Electronic versions of the forms can be downloaded by visiting: https://www.grants.gov/forms/forms-repository/post-award-reporting-forms.

If no equipment was acquired under an award, a negative report is required. The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than $10,000 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 (see 2 CFR 200.313(e)(1)).

CDC STAFF RESPONSIBILITIES

Roles and Responsibilities: Grants Management Specialists/Officers (GMO/GMS) and Program Officials (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. Award specific terms and conditions will include contact information for the PO/GMO/GMS.

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

- The development of programs and NOFOs 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 recipients in the performance of their project; and
- Post-award monitoring of recipient 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.

For Cooperative Agreements, substantial involvement is required from CDC. The PO is the federal official responsible for the collaboration or participation in carrying out the effort under the award. Substantial involvement will be detailed in the NOFO and award specific terms and conditions and may include, but is not limited to:

- Review and approval of one stage of work before work can begin on a subsequent stage;
- Review and approval of substantive programmatic provisions of proposed subawards or contracts (beyond existing federal review of procurement or sole source policies);
- Involvement in the selection of key relevant personnel;
- CDC and recipient collaboration or joint participation; and
- Implementing highly prescriptive requirements prior to award limiting recipient discretion with respect to scope of services, organizational structure, staffing, mode of operation, and other management processes.

Grants Management Officer: 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. 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 NOFO;
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy;
- Ensuring recipient compliance with applicable laws, regulations, and policies;
- Negotiating awards, including budgets;
- Responding to recipient inquiries regarding the business and administrative aspects of an award;
- Providing recipients 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, budget redirection, or changes to the terms and conditions of an award; and
- Maintaining the official grant file and program book.

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 in the GMO section are performed by the GMS, on behalf of the GMO.

From:	OGS Policy (CDC)
To:	CDC OD OCOO OFR OGS Grants Management Specialists
Cc:	OGS Policy (CDC)
Subject:	Updated General Terms and Conditions
Date:	Tuesday, April 22, 2025 10:26:46 AM
Attachments:	Action Transmittal_GPS Update 2025-02.pdf

Good morning OGS,

Please see the update to the General Terms and Conditions to implement the attached Action Transmittal 2025-02.

The new section titled “Civil Rights Assurance” is found on page 1 of the General Terms and Conditions linked below:

https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Research-Awards.pdf
https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Non-Research-Awards.pdf

Please let us know if you have any questions.

Nolan Hilliard
Public Health Analyst
Centers for Disease Control and Prevention (CDC)
Department of Health and Human Services (HHS)
770-488-7294 (office)

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> > *(a) DEI means "diversity, equity, and inclusion."*
> >
> > *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
> >
> > *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
> >
> > *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
> >
> > *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
> >
> > *(2) Grant award certification.*
> >
> > > *(a) By accepting the grant award, recipients are certifying that:*
> > >
> > > > *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
> > > >
> > > > *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
> >
> > *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

From: Legier, Jamie W. (CDC/OCOO/OFR/OGS)
To: Byrd, Shirley K. (CDC/OCOO/OFR/OGS); Waldon-Cooley, Zandrea (CDC/OCOO/OFR/OGS)
Subject: Fw: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)
Date: Wednesday, May 28, 2025 4:59:11 PM
Attachments: OG AT 2025-03 Rescinded AT 2025-02 db.pdf

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From: Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>
Sent: Wednesday, May 28, 2025 4:49:29 PM
To: Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>; Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>; Braxton, Makoto (ASPR/ADMIN) <Makoto.Braxton@hhs.gov>; Brookins, Marsha (IHS/HQ) <Marsha.Brookins@ihs.gov>; Bryant, Benjamin (ARPA-H) <benjamin.bryant@arpa-h.gov>; Bulls, Michelle G. (NIH/OD) [E] <michelle.bulls@nih.gov>; Chandler, Tanielle (ACL) <Tanielle.Chandler@acl.hhs.gov>; Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>; Cooper, Renee (HHS/ASFR) <Renee.Cooper@hhs.gov>; Crowley, Alexis L (OIG/OMP) <Alexis.Crowley@oig.hhs.gov>; Genovese, Alissa (HHS/ASFR) <Alissa.Genovese@hhs.gov>; Ghosh, Sudevi (CDC/OGC) <ggq4@cdc.gov>; Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>; Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>; Hakimian, Rina (HHS/OGC) <rina.hakimian@hhs.gov>; Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>; Lorenzo, Felix (HHS/ASFR) <Felix.Lorenzo@hhs.gov>; Nestor, Johanna (HHS/ASFR) <Johanna.Nestor@hhs.gov>; Pendleton, Kimberly (FDA/OC) <Kimberly.Pendleton@fda.hhs.gov>; Tilford, Kevin (HHS/ASFR) <Kevin.Tilford@hhs.gov>; Tucker, Avery (HHS/ASFR) <Avery.Tucker@hhs.gov>; Vollmer, Jason (CMS/OAGM) <jason.vollmer@cms.hhs.gov>; West, Eric (HHS/OASH) <Eric.West@hhs.gov>; Wilburg, Seon (OS/ASTP) <Seon.Wilburg@hhs.gov>; Xu, Tanya (HHS/OGC) <Tanya.Xu@hhs.gov>; Young, Steven W. (AHRQ/OMS) <Steven.Young@AHRQ.hhs.gov>; Ta, Kristin (NIH/OD) [E] <Kristin.Ta@nih.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)

Chief Grants Management Officers,
Effectively immediately OG rescinds Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. We are awaiting further Federal-wide guidance prior to updating the Grants Policy Statement (GPS).

For now, you do not need to take the actions described in AT 2025-02 to apply the award term therein to HHS award actions.

Please let us know if you have any questions.

Chad T. Clifford

Executive Director, DPOET – Office of Grants
Office of the Secretary - ASFR
U.S. Dept. of Health & Human Services
Phone: 202-360-7318

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-03

Issuance Date: May 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.05.28 15:26:59 -04'00'

SUBJECT: Action Transmittal 2025-02, *Department of Health and Human Services Grants Policy Statement (GPS) Update*, is rescinded until an updated term is issued.

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

Internal Only

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
Atlanta GA 30333

General Terms and Conditions for Non-Research Grants and Cooperative Agreements

Incorporation: The U.S. Department of Health and Human Services (HHS) grant recipients must comply with: all terms and conditions outlined in the Notice of Funding Opportunity (NOFO); their Notice of Award (NOA); grants policy contained in applicable HHS Grants Policy Statements; HHS grant administration regulations (e.g., 45 CFR Part 75, 2 CFR 200 (as applicable)); requirements imposed by program statutes and regulations; applicable Executive Orders; HHS Administrative and National Policy Requirements; HHS policies, directives, and guidance; and requirements or limitations in any applicable appropriations acts. The term grant is used throughout these general terms and conditions of award and includes cooperative agreements.

Note: In the event that any requirement in the NOA, the NOFO, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	Replaces 45 CFR 75 citation
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies

2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

FEDERAL REGULATIONS AND POLICIES

2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Referenced where indicated and applicable.
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. https://www.ecfr.gov/cgi-bin/text- idx?node=pt45.1.75&rgn=div5

HHS Administrative and National Policy Requirements
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

HHS Grants Policy and Regulations
https://www.hhs.gov/grants/grants/grants-policies- regulations/index.html

HHS Grants Policy Statement (effective for new, continuation, and supplemental awards made on or after October 1, 2024)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-october-2024.pdf

HHS Grants Policy Statement (January 2007 version applies to awards issued before October 1, 2024)
https://public3.pagefreezer.com/browse/HHS.gov/27-09-2024T06:59/https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Federal Funding Accountability and Transparency Act (FFATA). https://sam.gov/fsrs.
Refer to the section below on Reporting Requirements for more details.

Trafficking In Persons: Consistent with 2 CFR 175, awards are subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175

FUNDING RESTRICTIONS AND LIMITATIONS

Cost Limitations as stated in Appropriations Acts. Recipients must follow applicable fiscal year appropriations law in effect at the time of award and consistent with the specific funds provided under that award. The general provisions for grants, cooperative agreements and loans funded by the Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act is available at: https://www.congress.gov/resources/display/content/Appropriations+and+Budget.

Though Recipients are required to comply with all applicable appropriations restrictions, please

find below specific ones of note. CDC notes that the cited section for each below provision may change annually.

A. Cap on Salaries (Division H, Title II, General Provisions, Sec. 202): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS award or order; it merely limits the portion of that salary that may be paid with federal funds. The HHS Grants Policy Statement further explains the application of this salary rate limitation.

B. Gun Control Prohibition (Div. H, Title II, Sec. 210): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

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

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive- legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future federal, state or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Anti-Lobbying Restrictions for CDC Grantees at https://www.cdc.gov/grants/documents/Anti-Lobbying-Restrictions.pdf.

D. Blocking access to pornography (Div. H, Title V, Sec. 520): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such

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

E. Needle Exchange (Div. H, Title V, Sec. 526): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR 200.216)**:** For all new, non-competing continuation, renewal or supplemental awards issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending grant funds (to include direct and indirect expenditures as well as cost share and program funds) to:

1. Procure or obtain,
2. Extend or renew a contract to procure or obtain; or
3. Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in 2 CFR 200.216, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
    iii. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

President's Emergency Plan for AIDS Relief (PEPFAR) funding is exempt from the prohibition under 2 CFR 200.216 until September 30, 2028. During the exemption period, PEPFAR recipients are expected to work toward implementation of 2 CFR 200.216. The exemption may only be applied when there is no available alternative eligible source for these services.

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

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted no later than 90 days after the end of the budget period in the Payment Management System.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

If more frequent reporting is required, the Notice of Award terms and conditions will explicitly state the reporting requirement.

Annual Performance Progress and Monitoring Reporting: The Annual Performance Progress and Monitoring Report (PPMR) is due no later than 120 days prior to the end of the budget period and serves as the continuation application for the follow-on budget period. Submission instructions, due date, and format will be included in the guidance from the assigned GMO/GMS via www.grantsolutions.gov.

Any change to the existing information collection noted in the award terms and conditions will be subject to review and approval by the Office of Management and Budget (OMB) under the Paperwork Reduction Act.

Data Collection and Sharing Under Award: Consistent with strategies and activities expected and anticipated under this award, Recipient, either directly or indirectly, may be expected to collect or generate data for public health purposes. For purposes of this award, data for public health purposes may be administrative data or data commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation, but does not include preliminary analyses, drafts of scientific papers, plans for future research communications with colleagues, or physical objects, such as laboratory notebooks or laboratory specimens unless otherwise specified in the award.

45 C.F.R. 75.322(d) states that the federal government has the right to: 1) obtain, reproduce, publish, or otherwise use the data produced under a federal award; and 2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes. In furtherance of various United States Government-wide initiatives and policies, the federal government seeks to make federally funded publications and data underlying them more readily available, and to make public health data more readily accessible within the federal government and to the public. Consistent with grant regulations, CDC may legally obtain a copy of any data collected or generated under this award. Where CDC has determined that data collected or generated under this award must be shared with CDC, such direction will be further addressed in your Notice of Funding Opportunity, your Notice of Grant Award, or other specific grant guidance. Acceptance of funds under this award is an acknowledgement of this regulatory provision and its application to this award.

Data Management Plan: CDC requires recipients for projects that involve the collection or generation of data with federal funds to develop, submit, and comply with a Data Management Plan (DMP) for each collection or generation of public health data undertaken as part of the award. The DMP should take into consideration sharing data with CDC including: 1) the specific data that will be shared under the award, 2) the process and timing planned for such sharing, 3) and any

legal limitations that the Recipient asserts would hinder CDC access to, or use of, the data collected or generated under the award. In addition, the DMP should address broader access to and archiving/long-term preservation of collected or generated data. Additional information on the Data Management and Access requirements can be found at https://www.cdc.gov/grants/additional-requirements/ar-25.html.

Audit Requirement Domestic Organizations *(including US-based organizations implementing projects with foreign components)*: An organization that expends $1,000,000 or more in a fiscal year in federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission: https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART), ORMIC.Audit.Resolution@cdc.gov.

Audit Requirement Foreign Organizations: A foreign organization that expends $300,000 or more in a fiscal year on its federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed in English and in US dollars and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to the Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART) at ORMIC.Audit.Resolution@cdc.gov. After receipt of the audit report, CDC will resolve findings by issuing Final Management Determination Letters.

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

Federal Funding Accountability and Transparency Act (FFATA)
In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information, Prime Recipients 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 recipient awards any sub-grant equal to or greater than $30,000. Refer to 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information at eCFR :: 2 CFR Part 170 -- Reporting Subaward and Executive Compensation Information and https://sam.gov/fsrs for reporting requirements and guidance.

Unique Entity Identifier (UEI)
The UEI is the official identifier for doing business with the U.S. Government as of April 4, 2022. The UEI is generated and assigned by the System for Award Management at SAM.gov. In accordance with 2 CFR part 25, Appendix A, a recipient must maintain current information in SAM.gov, through at least annual review, until it submits the final required financial report or receives the final payment, whichever is later.

Required Disclosures for Responsibility and Qualification (R/Q) (SAM.gov): 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 assigned GMS/GMO identified in the NOA, and to the HHS OIG by email at grantdisclosures@oig.hhs.gov or by mail to the following address:

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

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 include 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 Responsibilities and Qualifications (R/Q) accessible through SAM (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)).

1. *General Reporting Requirement*

   If the total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, the recipient must maintain the currency of information reported to the System for Award Management (SAM) and made

available in the designated integrity and performance system (currently the Responsibility/Qualification (R/Q) through SAM.gov) about civil, criminal, or administrative proceedings described in section 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the federal government;

b. Reached its final disposition during the most recent five-year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in section 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under federal procurement contracts that you were awarded.

4. Reporting Frequency

During any period of time when you are subject to this requirement in section 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you

have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (*e.g.*, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and state level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the federal share of the funding under any federal award with a recipient cost share or match;

(2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

GENERAL REQUIREMENTS

You will administer your project in compliance with the HHS Administrative and National Policy Requirements found at https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf.

Termination (45 CFR Part 75.372) applies to this award and states, in part, the following:

This award may be terminated in whole or in part:

(1) By the HHS awarding agency or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated.

However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Travel Cost: In accordance with HHS Grants Policy Statement, travel costs are allowable when the travel will provide a direct benefit to the project or program. To prevent disallowance of cost, the recipient is responsible for ensuring travel costs are clearly stated in their budget narrative and are applied in accordance with their organization's established travel policies and procedures. The recipient's established travel policies and procedures must also meet the requirements of 45 CFR Part 75.474.

Food and Meals: Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies. See https://www.hhs.gov/grants/contracts/contract-policies-regulations/spending-on-food/index.html. In addition, costs must be clearly stated in the budget narrative and be consistent with organization approved policies. Recipients must make a determination of reasonableness and organization approved policies must meet the requirements of 45 CFR Part 75.432.

Prior Approval: All requests which require prior approval, must bear the signature (or electronic authorization) of the authorized organization representative. The recipient should submit these requests no later than 120 days prior to the budget period's end date to ensure ample time remains to process and carry-out the request. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests are examples of actions that require prior approval, unless an expanded authority, or conversely a high-risk condition, is explicitly indicated in the NOA.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction
- Significant redirection of funds (i.e., cumulative changes of 25% of total award)
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Extensions to period of performance

Templates for prior approval requests can be found at: https://www.cdc.gov/grants/already-have-grant/prior-approval-requests.html.

Additional information on the electronic grants administration system CDC non-research awards utilize, GrantSolutions, can be found at: https://www.cdc.gov/grants/grantsolutions/index.html.

Recipient Contractual/Consultant Cost Agreements: In accordance with §2 CFR 200.325, all supporting documentation related to the elements outlined in the Budget Preparation Guidelines must be maintained by the recipient and available upon request. Recipients may submit supporting documentation via GrantSolutions Grants Management Services (GSGMS) Grant Notes to the

assigned Grants Management Specialist.

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

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

Acknowledgment of Federal Funding: When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents --such as toolkits, resource guides, websites, and presentations (hereafter “statements”) --describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

> This [**project/publication/program/website, etc**.] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with 100 percent funded by CDC/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

If the HHS Grant or Cooperative Agreement IS partially funded with other non-governmental sources:

> This [**project/publication/program/website, etc.]** [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with **XX** percentage funded by CDC/HHS and **$XX** amount and **XX** percentage funded by non- government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement.

Any amendments by the recipient to the acknowledgement statement must be coordinated with the HHS Awarding Agency.

If the recipient plans to issue a press release concerning the outcome of activities supported by HHS financial assistance, it should notify the HHS Awarding Agency in advance to allow for coordination.

Copyright Interests Provision: This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available without any embargo or delay after publication. Also, at the time of submission, Recipient and/or the Recipient's submitting author must also post the manuscript through PubMed Central (PMC) without any embargo or delay after publication. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted article reserve adequate right to fully comply with this provision and the license reserved by CDC.

The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar 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 reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Logo Use for Conference and Other Materials: Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. As a general matter, a non-federal entity is not authorized to use the HHS name or logo. Moreover, the HHS Office of the Inspector General has authority to

impose civil monetary penalties for violations (42 CFR Part 1003). The appropriate use of the HHS logo is subject to review and approval of the HHS Assistant Secretary for Public Affairs (ASPA), and if granted would be governed by a logo license agreement setting forth the terms and conditions of use.

Additionally, the CDC logo cannot be used by the recipient without the express, written consent of CDC, generally in the form of a logo license agreement setting forth the terms and conditions of use. The Program Official/Project Officer identified in the NOA can assist with facilitating such a request. It is the responsibility of the recipient 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 recipient must ensure written consent is received.

Equipment and Products: To the greatest extent practical, 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 $10,000 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 recipient may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

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

FISMA applies to CDC recipients only when recipients 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 recipient retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a recipient 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: https://www.govinfo.gov/content/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf.

Whistleblower Protections: As a recipient of this award, you must comply with the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, 41 U.S.C. § 4712) "Enhancement of contractor protection from reprisal for disclosure of certain information," and 48 CFR part 3 subpart 3.9, "Whistleblower Protections for Contractor Employees." For more information see:

https://oig.hhs.gov/fraud/whistleblower/.

Cybersecurity Requirements: Recipients shall develop plans and procedures, modeled after the NIST Cybersecurity framework, to protect HHS and CDC systems and data, if the following conditions are met: 1) recipients, subrecipients, or third-party entities have ongoing and consistent access to HHS owned or operated information or operational technology systems and 2) recipients, subrecipients, or third-party entities receive, maintain, transmit, store, access, exchange, process, or utilize personal identifiable information (PII) or personal health information (PHI) obtained from the awarding HHS agency for the purposes of executing the award. Where both conditions exist, recipients must develop cybersecurity plans and procedures modeled after the NIST Cybersecurity framework (https://www.nist.gov/cyberframework) to protect HHS systems and data.

PAYMENT INFORMATION

Fraud Waste or Abuse: 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 online at https://tips.oig.hhs.gov/ or by mail to U.S. Department of Health and Human Services, Office of the Inspector General, Attn: OIG HOTLINE OPERATIONS, P.O. Box 23489 Washington DC 20026. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.

For additional information, see: https://oig.hhs.gov/fraud/report-fraud/.

Automatic Drawdown (Direct/Advance Payments): Payments under CDC awards will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS), under automatic drawdown, unless specified otherwise in the NOA. Recipients must comply with requirements imposed by the PMS on-line system. Questions concerning award payments or audit inquiries should be directed to the payment management services office.

PMS Website: https://pms.psc.gov/
PMS Phone Support: +1(877)614-5533
PMS Email Support: PMSSupport@psc.gov

Payment Management System Subaccount: Funds awarded in support of approved activities will be obligated in an established subaccount in the PMS. 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.

Exchange Rate: All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC will generally not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

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

Certification Statement: By drawing down funds, the recipient 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 in the NOFO, outlined in their NOA, 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

In accordance with 2 CFR 200.344, recipients must submit all closeout reports identified in this section within 120 days of the period of performance end date. The reporting timeframe is the full period of performance. If the recipient does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, CDC may proceed to close out with the information available within one year of the period of performance end date unless otherwise directed by authorizing statutes. 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). If recipients do not submit all closeout reports identified in this section within one year of the period of performance end date, then CDC must report recipients' material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently Responsibility/Qualification section of SAM.gov). CDC may also pursue other enforcement actions per 45 CFR 75.371.

Final Performance Progress and Evaluation Report (PPER): This report should include the information specified in the NOFO and is submitted upon solicitation from the GMS/GMO via www.grantsolutions.gov. At a minimum, the report will include the following:

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

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

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds authorized and expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date through recipient online accounts in the Payment Management System. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

Every recipient should already have a PMS account to allow access to complete the SF-425.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of $10,000 or more. Electronic versions of the forms can be downloaded by visiting: https://www.grants.gov/forms/forms-repository/post-award-reporting-forms.

If no equipment was acquired under an award, a negative report is required. The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than $10,000 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 (see 2 CFR 200.313(e)(1)).

CDC STAFF RESPONSIBILITIES

Roles and Responsibilities: Grants Management Specialists/Officers (GMO/GMS) and Program Officials (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. Award specific terms and conditions will include contact information for the PO/GMO/GMS.

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

- The development of programs and NOFOs 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 recipients in the performance of their project; and
- Post-award monitoring of recipient 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.

For Cooperative Agreements, substantial involvement is required from CDC. The PO is the federal official responsible for the collaboration or participation in carrying out the effort under the award. Substantial involvement will be detailed in the NOFO and award specific terms and conditions and may include, but is not limited to:

- Review and approval of one stage of work before work can begin on a subsequent stage;
- Review and approval of substantive programmatic provisions of proposed subawards or contracts (beyond existing federal review of procurement or sole source policies);

- Involvement in the selection of key relevant personnel;
- CDC and recipient collaboration or joint participation; and
- Implementing highly prescriptive requirements prior to award limiting recipient discretion with respect to scope of services, organizational structure, staffing, mode of operation, and other management processes.

Grants Management Officer: 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. 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 NOFO;
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy;
- Ensuring recipient compliance with applicable laws, regulations, and policies;
- Negotiating awards, including budgets;
- Responding to recipient inquiries regarding the business and administrative aspects of an award;
- Providing recipients 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, budget redirection, or changes to the terms and conditions of an award; and
- Maintaining the official grant file and program book.

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 in the GMO section are performed by the GMS, on behalf of the GMO.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
Atlanta GA 30333

General Terms and Conditions for Research Grants and Cooperative Agreements

Incorporation: The U.S. Department of Health and Human Services (HHS) grant recipients must comply with: all terms and conditions outlined in the Notice of Funding Opportunity (NOFO); their Notice of Award (NOA); grants policy contained in applicable HHS Grants Policy Statements; HHS grant administration regulations (e.g., 45 CFR Part 75, 2 CFR 200 (as applicable)); requirements imposed by program statutes and regulations; applicable Executive Orders; HHS Administrative and National Policy Requirements; HHS policies, directives, and guidance; and requirements or limitations in any applicable appropriations acts. The term grant is used throughout these general terms and conditions of award and includes cooperative agreements.

Note: In the event that any requirement in the NOA, the NOFO, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024

This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	Replaces 45 CFR 75 citation
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies

2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

FEDERAL REGULATIONS AND POLICIES

2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Referenced where indicated and applicable.
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. https://www.ecfr.gov/cgi-bin/text- idx?node=pt45.1.75&rgn=div5

HHS Administrative and National Policy Requirements
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

HHS Grants Policy and Regulations. https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html

HHS Grants Policy Statement (effective for new, continuation, and supplemental awards made on or after October 1, 2024)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-october-2024.pdf

HHS Grants Policy Statement (January 2007 version applies to awards issued before October 1, 2024)
https://public3.pagefreezer.com/browse/HHS.gov/27-09-2024T06:59/https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Federal Funding Accountability and Transparency Act (FFATA). https://sam.gov/fsrs.
Refer to the section below on Reporting Requirements for more details.

Trafficking In Persons: Consistent with 2 CFR 175, awards are subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175

FUNDING RESTRICTIONS AND LIMITATIONS

Human Subjects: Under governing regulations, federal funds administered by the Department of Health and Human Services shall not be expended for research involving human subjects, and individuals shall not be enrolled in such research, without prior approval by the Office for Human Research Protection (OHRP) of an assurance to comply with the requirements of 45 CFR Part 46 to protect human research subjects. Whenever an institution receives funding from an HHS agency to support such research, the awardee institution bears the ultimate responsibility for protecting human subjects under the award. Compliance for all performance sites must be ensured by the awardee.

All recipients of CDC grants and cooperative agreements and their performance sites engaged in research involving human subjects must obtain 1) a Federal wide Assurance (FWA) of Protection for Human Subjects from OHRP and 2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board (IRB). For instructions on registering IRBs and obtaining FWAs, see the OHRP website at: https://www.hhs.gov/ohrp.

Cost Limitations as Stated in Appropriations Acts. Recipients must follow the fiscal year appropriations law in effect at the time of award and consistent with the specific funds provided under that award. The general provisions for grants, cooperative agreements and loans funded by the Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act is available at: https://www.congress.gov/resources/display/content/Appropriations+and+Budget.

Though Recipients are required to comply with all applicable appropriations restrictions, please find below specific ones of note. CDC notes that the cited section for each below provision may change annually.

A. Cap on Salaries (Division H, Title II, General Provisions, Sec. 202): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

   Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS award or order; it merely limits the portion of that salary that may be paid with federal funds. The HHS Grants Policy Statement further explains the application of this salary rate limitation.

B. Gun Control Prohibition (Div. H, Title II, Sec. 210): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

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

   - 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive- legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

   - 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local

legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Anti-Lobbying Restrictions for CDC Grantees https://www.cdc.gov/grants/documents/Anti-Lobbying-Restrictions.pdf.

D. Blocking access to pornography (Div. H, Title V, Sec. 520): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

E. Needle Exchange (Div. H, Title V, Sec. 526): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR 200.216)**:** For all new, non-competing continuation, renewal or supplemental awards issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending grant funds (to include direct and indirect expenditures as well as cost share and program funds) to:

1. Procure or obtain,
2. Extend or renew a contract to procure or obtain; or
3. Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in 2 CFR 200.216, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
    iii. Telecommunications or video surveillance equipment or services produced or

provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

President's Emergency Plan for AIDS Relief (PEPFAR) funding is exempt from the prohibition under 2 CFR 200.216 until September 30, 2028. During the exemption period, PEPFAR recipients are expected to work toward implementation of 2 CFR 200.216. The exemption may only be applied when there is no available alternative eligible source for these services.

Certificate of Confidentiality: Institutions and investigators are responsible for determining whether research they conduct is subject to Section 301(d) of the Public Health Service (PHS) Act. Section 301(d), as amended by Section 2012 of the 21st Century Cures Act, P.L. 114-255 (42 U.S.C. 241(d)), states that the Secretary shall issue Certificates of Confidentiality (Certificates) to persons engaged in biomedical, behavioral, clinical, or other research activities in which identifiable, sensitive information is collected. In furtherance of this provision, CDC supported research commenced or ongoing after December 13, 2016 in which identifiable, sensitive information is collected, as defined by Section 301(d), is deemed issued a Certificate and therefore required to protect the privacy of individuals who are subjects of such research. Certificates issued in this manner will not be issued as a separate document but are issued by application of this term and condition to the award. See additional information on requirements at: https://www.cdc.gov/grants/additional-requirements/ar- 36.html.

Dual Use Research of Concern: On September 24, 2014, the Federal government issued a policy for the oversight of life sciences "Dual Use Research of Concern" (DURC) and required this policy to be implemented by September 24, 2015. The DURC policy can be found at https://www.phe.gov/s3/dualuse/Pages/default.aspx. The DURC policy applies to recipients in the United States who receive Federal funding for life sciences research and who conduct or sponsor research involving one or more of the 15 agents or toxins listed in the policy. This policy also applies to foreign recipients who receive Federal funding to conduct or sponsor research involving one of these 15 agents or toxins. Research funded by CDC involving these agents or toxins must be reviewed to determine if it involves one or more of the listed experimental effects and if so, whether it meets the definition of DURC. This review must be completed by an Institutional Review Entity (IRE) identified by the funded institution. Many institutions task their Institutional Biosafety Committees with this responsibility. See additional information on requirements at: https://www.cdc.gov/grants/additional-requirements/ar-33.html.

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

Awards that Involve Procurement of Synthetic Nucleic Acids for Benchtop Synthesizers: Beginning April 26, 2025, HHS funds may only be used to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment from sources adhering to the Office of Science and Technology Policy Framework for Nucleic Acid Synthesis Screening. HHS awardees are expected

to adhere to the Office of Science and Technology Policy Framework for Nucleic Acid Synthesis Screening for HHS projects.

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted no later than 90 days after the end of the budget period in the Payment Management System.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

If more frequent reporting is required, the Notice of Award terms and conditions will explicitly state the reporting requirement.

Annual Performance Reporting: The Research Performance Progress Report (RPPR) serves as the annual performance report and is due no later than (NLT) 120 days prior to the end of the budget period, or the date identified in the guidance distributed by the GMS/GMO. This report also serves as the continuation application.

The RPPR is completed using the NIH eRA Commons system. Refer to the "NIH and Other PHS Agency RPPR Instruction Guide" at https://grants.nih.gov/grants/rppr/index.htm for detailed instructions on completing the report. There are no forms available for download, however instructions on submitting RPPR information are available in the NIH RPPR Instruction Guide. Recipients can find further information on the RPPR at: https://grants.nih.gov/grants/rppr/index.htm.

Recipients must also submit a final RPPR for closeout purposes.

Data Collection and Sharing Under Award: Consistent with strategies and activities expected and anticipated under this award, Recipient, either directly or indirectly, may be expected to collect or generate data for public health purposes. For purposes of this award, data for public health purposes may be administrative data or data commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation, but does not include preliminary analyses, drafts of scientific papers, plans for future research communications with colleagues, or physical objects, such as laboratory notebooks or laboratory specimens unless otherwise specified in the award.

45 C.F.R. 75.322(d) states that the federal government has the right to: 1) obtain, reproduce, publish, or otherwise use the data produced under a federal award; and 2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes. In furtherance of various United States Government-wide initiatives and policies, the federal government seeks to make federally funded publications and data underlying them more readily available, and to make public health data more readily accessible within the federal government and to the public.

Consistent with grant regulations, CDC may legally obtain a copy of any data collected or generated under this award. Where CDC has determined that data collected or generated under this award must be shared with CDC, such direction will be further addressed in your Notice of Funding

Opportunity, your Notice of Grant Award, or other specific grant guidance. Acceptance of funds under this award is an acknowledgement of this regulatory provision and its application to this award.

Data Management Plan: CDC requires recipients for projects that involve the collection or generation of data with federal funds to develop, submit, and comply with a Data Management Plan (DMP) for each collection or generation of public health data undertaken as part of the award. The DMP should take into consideration sharing data with CDC including: 1) the specific data that will be shared under the award, 2) the process and timing planned for such sharing, 3) and any legal limitations that the Recipient asserts would hinder CDC access to, or use of, the data collected or generated under the award. In addition, the DMP should address broader access to and archiving/long-term preservation of collected or generated data. Additional information on the Data Management and Access requirements can be found at https://www.cdc.gov/grants/additional-requirements/ar- 25.html.

Audit Requirement Domestic Organizations *(including US-based organizations implementing projects with foreign components)*: An organization that expends $1,000,000 or more in a fiscal year in federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission: https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART), ORMIC.Audit.Resolution@cdc.gov.

Audit Requirement Foreign Organizations: A foreign organization that expends $300,000 or more in a fiscal year on its federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed in English and in US dollars, and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to the Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART) at ORMIC.Audit.Resolution@cdc.gov. After receipt of the audit report, CDC will resolve findings by issuing Final Management Determination Letters.

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

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

Federal Funding Accountability and Transparency Act (FFATA)
In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information, Prime Recipients 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 recipient awards any sub-grant equal to or greater than $30,000. Refer to 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information at eCFR :: 2 CFR Part 170 -- Reporting Subaward and Executive Compensation Information and https://sam.gov/fsrs for reporting requirements and guidance.

Unique Entity Identifier (UEI)
The UEI is the official identifier for doing business with the U.S. Government as of April 4, 2022. The UEI is generated and assigned by the System for Award Management at SAM.gov. In accordance with 2 CFR part 25, Appendix A, a recipient must maintain current information in SAM.gov, through at least annual review, until it submits the final required financial report or receives the final payment, whichever is later.

Required Disclosures for Responsibility and Qualification (R/Q) (SAM.gov): 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 assigned GMS/GMO identified in the NOA, and to the HHS OIG by email at grantdisclosures@oig.hhs.gov or by mail to the following address:

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 527
Washington, DC 20201

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 include 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 Responsibilities and Qualifications (R/Q) accessible through SAM (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)).

1. General Reporting Requirement

If the total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, the recipient must maintain the currency of information reported to the System for Award Management (SAM) and made available in the designated integrity and performance system (currently the Responsibility/Qualification (R/Q) through SAM.gov) about civil, criminal, or administrative proceedings described in section 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C.2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the federal government;

b. Reached its final disposition during the most recent five-year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in section 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under federal procurement contracts that you were awarded.

4. *Reporting Frequency*

During any period of time when you are subject to this requirement in section 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. *Definitions*

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and State level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the federal share of the funding under any federal award with a recipient cost share or match;

(2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

GENERAL REQUIREMENTS

You will administer your project in compliance with the HHS Administrative and National Policy Requirements found at https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf.

Termination (45 CFR Part 75.372) applies to this award and states, in part, the following:

(a) This award may be terminated in whole or in part:

(1) By the HHS awarding agency or pass-through entity, if a non-Federal entity fails to

comply with the terms and conditions of a Federal award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Travel Cost: In accordance with HHS Grants Policy Statement, travel costs are allowable when the travel will provide a direct benefit to the project or program. To prevent disallowance of cost, the recipient is responsible for ensuring travel costs are clearly stated in their budget narrative and are applied in accordance with their organization's established travel policies and procedures. The recipient's established travel policies and procedures must also meet the requirements of 45 CFR Part 75.474.

Food and Meals: Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies. See https://www.hhs.gov/grants/contracts/contract-policies-regulations/spending-on-food/index.html. In addition, costs must be clearly stated in the budget narrative and be consistent with organization approved policies. Recipients must make a determination of reasonableness and organization approved policies must meet the requirements of 45 CFR Part 75.432.

Prior Approval: All requests, which require prior approval, must bear the signature (or electronic authorization) of the authorized organization representative. The recipient should submit these requests no later than 120 days prior to the budget period's end date to ensure ample time remains to process and carry-out the request. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests are examples of actions that require prior approval, unless an expanded authority, or conversely a high-risk condition, is explicitly indicated in the NOA.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction
- Significant redirection of funds (i.e., cumulative changes of 25% of total award)
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget

- Apply for supplemental funds
- Extensions to period of performance

Templates for prior approval requests can be found at: https://www.cdc.gov/grants/already-have-grant/prior-approval-requests.html.

Recipient Contractual/Consultant Cost Agreements: In accordance with 45 CFR 75.333, all supporting documentation related to the contractual/consultant elements outlined in the Budget Preparation Guidelines must be maintained by the recipient and available upon request. Recipients may submit supporting documentation via email to the assigned Grants Management Specialist (GMS) and Scientific Project Officer/Project Officer (SPO/PO).

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

Inventions: Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR Part 401.14. Invention reporting responsibilities also are summarized in the HHS Grants Policy Statement, *Exhibit 9. Extramural Invention Reporting Compliance Responsibilities*. CDC requires invention reporting electronically through iEdison, which is available at https://www.nist.gov/iedison.

In addition to complying with Bayh-Dole-related regulations (37 CFR Part 401), each continuation annual performance report for CDC awards must indicate whether or not any subject inventions were made during the preceding budget period.

Information on submitting the Final Invention Statement is located below in the *Closeout Requirements* section of these terms and conditions.

Acknowledgment of Federal Funding: When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents --such as tool-kits, resource guides, websites, and presentations (hereafter “statements”) --describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

> This [**project/publication/program/website, etc**.] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with 100 percent funded by CDC/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The HHS Grant or Cooperative Agreement IS partially funded with other non-governmental sources:

> This [**project/publication/program/website, etc.]** [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with **XX** percentage funded by CDC/HHS and **$XX** amount and **XX** percentage funded by non- government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement.

Any amendments by the recipient to the acknowledgement statement must be coordinated with the HHS Awarding Agency.

If the recipient plans to issue a press release concerning the outcome of activities supported by HHS financial assistance, it should notify the HHS Awarding Agency in advance to allow for coordination.

Copyright Interests Provision: This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available without any embargo or delay after publication. Also, at the time of submission, Recipient and/or the Recipient's submitting author must post the manuscript through PubMed Central (PMC) without any embargo or delay after publication. The recipient must obtain prior approval from the CDC for any exception to this provision.

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

number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar 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 reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Logo Use for Conference and Other Materials: Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. As a general matter, a non-federal entity is not authorized to use the HHS name or logo. Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). The appropriate use of the HHS logo is subject to review and approval of the HHS Assistant Secretary for Public Affairs (ASPA), and if granted would be governed by a logo license agreement setting forth the terms and conditions of use.

Additionally, the CDC logo cannot be used by the recipient without the express, written consent of CDC, generally in the form of a logo license agreement setting forth the terms and conditions of use. The Program Official/Project Officer identified in the NOA can assist with facilitating such a request. It is the responsibility of the recipient 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 recipient must ensure written consent is received.

Equipment and Products: To the greatest extent practical, 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 $10,000 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 recipient may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

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

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

FISMA applies to CDC recipients only when recipients 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 recipient retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a recipient 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: https://www.gpo.gov/fdsys/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf.

Whistleblower Protections: As a recipient of this award you must comply with the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, 41 U.S.C. § 4712) "Enhancement of contractor protection from reprisal for disclosure of certain information," and 48 CFR part 3 subpart 3.9, "Whistleblower Protections for Contractor Employees." For more information see: https://oig.hhs.gov/fraud/whistleblower/.

Public Health Service Policies on Research Misconduct: CDC-funded projects must comply with 42 CFR Part 93, PHS Policies on Research Misconduct, Subpart C, "Responsibilities of Institutions." 42 CFR Part 93, Subpart C specifies recipient responsibilities to have written policies and procedures for addressing allegations of research misconduct, to file and maintain an Assurance of Compliance with the HHS Office of Research Integrity (https://ori.hhs.gov/) and take all reasonable and practical steps to foster research integrity.

Inclusion of Persons Under the Age of 21 in Research: It is CDC's policy that persons under the age of 21 must be included in all human subjects research that is conducted or supported by CDC, unless there are scientific and ethical reasons not to include them. This policy applies to all CDC-conducted or CDC-supported research involving human subjects, including research that is otherwise exempt in accordance with Sections 101(b) and 401(b) of 45 C.F.R. Part 46, HHS Policy for the Protection of Human Subjects. Therefore, proposals for research involving human subjects must include a description of plans for including persons under the age of 21. If persons under the age of 21 will be excluded from the research, the application or proposal must present an acceptable justification for the exclusion. Additional information is available at https://www.cdc.gov/grants/additional-requirements/ar-28.html.

Cybersecurity Requirements: Recipients shall develop plans and procedures, modeled after the NIST Cybersecurity framework, to protect HHS and CDC systems and data, if the following conditions are met: 1) recipients, subrecipients, or third-party entities have ongoing and consistent access to HHS owned or operated information or operational technology systems and 2) recipients, subrecipients, or third-party entities receive, maintain, transmit, store, access, exchange, process, or utilize personal identifiable information (PII) or personal health information (PHI) obtained from the

awarding HHS agency for the purposes of executing the award. Where both conditions exist, recipients must develop cybersecurity plans and procedures modeled after the NIST Cybersecurity framework (https://www.nist.gov/cyberframework) to protect HHS systems and data.

PAYMENT INFORMATION

Fraud Waste or Abuse: 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 online at https://tips.oig.hhs.gov/ or by mail to U.S. Department of Health and Human Services, Office of the Inspector General, Attn: OIG HOTLINE OPERATIONS, P.O. Box 23489 Washington DC 20026. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. For additional information, see: https://oig.hhs.gov/fraud/report-fraud/.

Automatic Drawdown (Direct/Advance Payments): Payments under CDC awards will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS), under automatic drawdown, unless specified otherwise in the NOA. Recipients must comply with requirements imposed by the PMS on-line system. Questions concerning award payments or audit inquiries should be directed to the payment management services office.

PMS Website: https://pms.psc.gov/
PMS Phone Support: +1(877)614-5533
PMS Email Support: PMSSupport@psc.gov

Payment Management System Subaccount: Funds awarded in support of approved activities will be obligated in an established subaccount in the PMS. 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.

Exchange Rate: All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC will not generally compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

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

Certification Statement: By drawing down funds, the recipient 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 in the NOFO, outlined in their NOA, 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

In accordance with 2 CFR 200.344, recipients must submit all closeout reports identified in this section within 120 days of the period of performance end date. The reporting timeframe is the full period of performance. If the recipient does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, CDC may proceed to close out with the information available within one year of the period of performance end date unless otherwise directed by authorizing statutes. 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). If recipients do not submit all closeout reports identified in this section within one year of the period of performance end date, then CDC must report recipients' material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently Responsibility/Qualification section of SAM.gov). CDC may also pursue other enforcement actions per 45 CFR 75.371.

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

The final reports required are the following:

Final Research Performance Progress Report: The Final RPPR is completed using the NIH eRA Commons system. Refer to the "NIH and Other PHS Agency RPPR Instruction Guide" at https://grants.nih.gov/grants/rppr/index.htm for detailed instructions on completing the report. There are no forms available for download, however instructions on submitting the Final RPPR information are available in the NIH RPPR Instruction Guide.

Recipients can find further information on the RPPR at: https://grants.nih.gov/grants/rppr/index.htm.

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds authorized and expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date through recipient online accounts in the Payment Management System. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

Every recipient should already have a PMS account to allow access to complete the SF-425.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of $10,000 or more. Electronic versions of the forms can be downloaded by visiting: https://www.grants.gov/forms/forms-repository/post-award-reporting-forms.

If no equipment was acquired under an award, a negative report is required.

The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than $10,000 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 (see 2 CFR 200.313(e)(1)).

Final Invention Statement: A Final Invention Statement must be submitted. Electronic versions of the form can be downloaded by visiting https://grants1.nih.gov/grants/hhs568.pdf.

If no inventions were conceived under an assistance award, a negative report is required. This statement may be included in a cover letter.

CDC STAFF RESPONSIBILITIES

Roles and Responsibilities: Grants Management Specialists/Officers (GMO/GMS) and Program Officials (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.

Scientific Program Official: The SPO is the federal official responsible for the normal scientific and programmatic stewardship of grants and cooperative agreements including:

- Being named as the Scientific Program Official to provide oversight and assure overall scientific and programmatic stewardship of the award;
- Collaborating, as appropriate, with the recipient in all stages of the program, and providing post-award scientific review and administrative guidance;
- Monitoring performance against approved project objectives;
- Making recommendations on requests for changes in scope, objectives, and/or budgets that deviate from the approved peer-reviewed application;
- Assessing the public health impact of the research conducted under this funding opportunity announcement and promoting translation of promising practices, programs, interventions, and other results from the research; and

- Serving as the primary point of contact on official award-related activities, including an annual review of the grantee's performance as part of the request for continuation application.

For Cooperative Agreements, substantial involvement is required from CDC. The SPO is the federal official responsible for the collaboration or participation in carrying out the effort under the award. Substantial involvement may include, but is not limited to:

- Review and approval of one stage of work before work can begin on a subsequent stage;
- Review and approval of substantive programmatic provisions of proposed subawards or contracts (beyond existing federal review of procurement or sole source policies);
- Involvement in the selection of key relevant personnel;
- CDC and recipient collaboration or joint participation; and
- Implementing highly prescriptive requirements prior to award limiting recipient discretion with respect to scope of services, organizational structure, staffing, mode of operation, and other management processes.

Grants Management Officer: 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. 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 NOFO;
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy;
- Ensuring recipient compliance with applicable laws, regulations, and policies;
- Negotiating awards, including budgets;
- Responding to recipient inquiries regarding the business and administrative aspects of an award;
- Providing recipients 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, budget redirection, or changes to the terms and conditions of an award; and
- Maintaining the official grant file and program book.

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 in the GMO section are performed by the GMS, on behalf of the GMO.

From:	OGS Policy (CDC)
To:	CDC OD OCOO OFR OGS Grants Management Specialists
Cc:	OGS Policy (CDC)
Subject:	Updated General Terms and Conditions
Date:	Friday, May 30, 2025 8:08:02 AM
Attachments:	OG AT 2025-03 Rescinded AT 2025-02 _ db.pdf

Good morning OGS,

Please see the update to the General Terms and Conditions to implement the attached Action Transmittal 2025-03.

The section titled “Civil Rights Assurance” has been removed from page 1 of the General Terms and Conditions linked below:

https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Research-Awards.pdf
https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Non-Research-Awards.pdf

Please let us know if you have any questions.

Nolan Hilliard
Public Health Analyst
Centers for Disease Control and Prevention (CDC)
Department of Health and Human Services (HHS)
770-488-7294 (office)

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-03

Issuance Date: May 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.05.28 15:26:59 -04'00'

SUBJECT: Action Transmittal 2025-02, *Department of Health and Human Services Grants Policy Statement (GPS) Update*, is rescinded until an updated term is issued.

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

Internal Only

Outlook

Fw: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

From Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>
Date Fri 2025-07-25 12:48
To Waldon-Cooley, Zandrea (CDC/OCOO/OFR/OGS) <wwl4@cdc.gov>; Hardie, Natalie (CDC/OCOO/OFR/OGS) <wvg1@cdc.gov>; Byrd, Shirley K. (CDC/OCOO/OFR/OGS) <yuo6@cdc.gov>

1 attachment (150 KB)
Antidiscrimination Compliance Certification AT 2025-05.pdf;

FYA

Get Outlook for iOS

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, July 25, 2025 12:46:23 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

Chief Grants Management Officers,

On May 28th, the Office of Grants rescinded Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. Today, July 24, 2025, the Grants Policy Statement (GPS) was updated to reflect the below revised language regarding compliance with all federal antidiscrimination laws. Moving forward, HHS awarding agencies must include the below HHS-approved term in all Notices of Award (NoAs) and clearly state the term in Notices of Funding Opportunity (NOFOs).

> ***Required Notice of Award Term and Condition Language***
>
> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

See the attached associated Action Transmittal. Please contact your Desk Officer if you have any questions, or anyone in OG. Thank you,

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| dale.bell@hhs.gov

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-05

Issuance Date: July 24, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

WILLIAM D. BELL IV -S Digitally signed by WILLIAM D. BELL IV -S Date: 2025.07.25 11:36:10 -04'00'

SUBJECT: Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

ACTION:

HHS awarding agencies must insert the below HHS-approved language as a term and condition in all Notices of Award (NoAs) and clearly state this term in Notices of Funding Opportunity (NOFOs):

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Internal Only

Hilliard, Nolan D. (CDC/OCOO/OFR/OGS)

From: Hilliard, Nolan D. (CDC/OCOO/OFR/OGS)
Sent: Wednesday, July 30, 2025 11:25 AM
To: CDC OD OCOO OFR OGS Grants Management Specialists
Cc: OGS Policy (CDC)
Subject: Updated General Terms and Conditions

Good morning OGS Colleagues,

The General Terms and Conditions have been updated to implement a recent revision to the HHS Grants Policy Statement (GPS) effective as of July 24, 2025.

1. Added the statement below to page 1 of the General Terms and Conditions:

   Antidiscrimination Compliance: By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

2. Added the new GPS link on page 2 of the General Terms and Conditions: HHS Grants Policy Statement (GPS)

3. The updated Terms are posted on the external CDC Internet here:
   https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Research-Awards.pdf
   https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Non-Research-Awards.pdf

Please let us know if you have any questions.

Nolan Hilliard
Public Health Analyst
Centers for Disease Control and Prevention (CDC)
Department of Health and Human Services (HHS)
770-488-7294 (office)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
Atlanta GA 30333

General Terms and Conditions for Non-Research Grants and Cooperative Agreements

Incorporation: The U.S. Department of Health and Human Services (HHS) grant recipients must comply with: all terms and conditions outlined in the Notice of Funding Opportunity (NOFO); their Notice of Award (NOA); grants policy contained in applicable HHS Grants Policy Statements; HHS grant administration regulations (e.g., 45 CFR Part 75, 2 CFR 200 (as applicable)); requirements imposed by program statutes and regulations; applicable Executive Orders; HHS Administrative and National Policy Requirements; HHS policies, directives, and guidance; and requirements or limitations in any applicable appropriations acts. The term grant is used throughout these general terms and conditions of award and includes cooperative agreements.

Note: In the event that any requirement in the NOA, the NOFO, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Antidiscrimination Compliance: By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	Replaces 45 CFR 75 citation
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

FEDERAL REGULATIONS AND POLICIES

2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Referenced where indicated and applicable.
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. https://www.ecfr.gov/cgi-bin/text- idx?node=pt45.1.75&rgn=div5

HHS Administrative and National Policy Requirements
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

HHS Grants Policy and Regulations
https://www.hhs.gov/grants/grants/grants-policies- regulations/index.html

HHS Grants Policy Statement (effective July 24, 2025)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-july-2025.pdf

HHS Grants Policy Statement (effective for new, continuation, and supplemental awards made on or after October 1, 2024)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-october-2024.pdf

HHS Grants Policy Statement (January 2007 version applies to awards issued before October 1, 2024)
https://public3.pagefreezer.com/browse/HHS.gov/27-09-2024T06:59/https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Federal Funding Accountability and Transparency Act (FFATA). https://sam.gov/fsrs.
Refer to the section below on Reporting Requirements for more details.

Trafficking In Persons: Consistent with 2 CFR 175, awards are subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175

FUNDING RESTRICTIONS AND LIMITATIONS

Cost Limitations as stated in Appropriations Acts. Recipients must follow applicable fiscal year appropriations law in effect at the time of award and consistent with the specific funds provided under that award. The general provisions for grants, cooperative agreements and loans funded by the Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act is available at: https://www.congress.gov/resources/display/content/Appropriations+and+Budget.

Though Recipients are required to comply with all applicable appropriations restrictions, please find below specific ones of note. CDC notes that the cited section for each below provision may change annually.

A. Cap on Salaries (Division H, Title II, General Provisions, Sec. 202): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS award or order; it merely limits the portion of that salary that may be paid with federal funds. The HHS Grants Policy Statement further explains the application of this salary rate limitation.

B. Gun Control Prohibition (Div. H, Title II, Sec. 210): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

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

- 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive- legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

- 503(b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future federal, state or local tax increase, or any

proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Anti-Lobbying Restrictions for CDC Grantees at https://www.cdc.gov/grants/documents/Anti-Lobbying-Restrictions.pdf.

D. Blocking access to pornography (Div. H, Title V, Sec. 520): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

E. Needle Exchange (Div. H, Title V, Sec. 526): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR 200.216)**:** For all new, non-competing continuation, renewal or supplemental awards issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending grant funds (to include direct and indirect expenditures as well as cost share and program funds) to:

1. Procure or obtain,
2. Extend or renew a contract to procure or obtain; or
3. Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in 2 CFR 200.216, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
    iii. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

President's Emergency Plan for AIDS Relief (PEPFAR) funding is exempt from the prohibition under 2 CFR 200.216 until September 30, 2028. During the exemption period, PEPFAR recipients are expected to work toward implementation of 2 CFR 200.216. The exemption may only be

applied when there is no available alternative eligible source for these services.

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

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted no later than 90 days after the end of the budget period in the Payment Management System.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

If more frequent reporting is required, the Notice of Award terms and conditions will explicitly state the reporting requirement.

Annual Performance Progress and Monitoring Reporting: The Annual Performance Progress and Monitoring Report (PPMR) is due no later than 120 days prior to the end of the budget period and serves as the continuation application for the follow-on budget period. Submission instructions, due date, and format will be included in the guidance from the assigned GMO/GMS via www.grantsolutions.gov.

Any change to the existing information collection noted in the award terms and conditions will be subject to review and approval by the Office of Management and Budget (OMB) under the Paperwork Reduction Act.

Data Collection and Sharing Under Award: Consistent with strategies and activities expected and anticipated under this award, Recipient, either directly or indirectly, may be expected to collect or generate data for public health purposes. For purposes of this award, data for public health purposes may be administrative data or data commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation, but does not include preliminary analyses, drafts of scientific papers, plans for future research communications with colleagues, or physical objects, such as laboratory notebooks or laboratory specimens unless otherwise specified in the award.

45 C.F.R. 75.322(d) states that the federal government has the right to: 1) obtain, reproduce, publish, or otherwise use the data produced under a federal award; and 2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes. In furtherance of various United States Government-wide initiatives and policies, the federal government seeks to make federally funded publications and data underlying them more readily available, and to make public health data more readily accessible within the federal government and to the public. Consistent with grant regulations, CDC may legally obtain a copy of any data collected or generated under this award. Where CDC has determined that data collected or generated under this award must be shared with CDC, such direction will be further addressed in your Notice of

Funding Opportunity, your Notice of Grant Award, or other specific grant guidance. Acceptance of funds under this award is an acknowledgement of this regulatory provision and its application to this award.

Data Management Plan: CDC requires recipients for projects that involve the collection or generation of data with federal funds to develop, submit, and comply with a Data Management Plan (DMP) for each collection or generation of public health data undertaken as part of the award. The DMP should take into consideration sharing data with CDC including: 1) the specific data that will be shared under the award, 2) the process and timing planned for such sharing, 3) and any legal limitations that the Recipient asserts would hinder CDC access to, or use of, the data collected or generated under the award. In addition, the DMP should address broader access to and archiving/long-term preservation of collected or generated data. Additional information on the Data Management and Access requirements can be found at https://www.cdc.gov/grants/additional-requirements/ar-25.html.

Audit Requirement Domestic Organizations *(including US-based organizations implementing projects with foreign components)*: An organization that expends $1,000,000 or more in a fiscal year in federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission:
https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART), ORMIC.Audit.Resolution@cdc.gov.

Audit Requirement Foreign Organizations: A foreign organization that expends $300,000 or more in a fiscal year on its federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed in English and in US dollars and submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to the Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART) at ORMIC.Audit.Resolution@cdc.gov. After receipt of the audit report, CDC will resolve findings by issuing Final Management Determination Letters.

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

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

Federal Funding Accountability and Transparency Act (FFATA)
In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information, Prime Recipients 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 recipient awards any sub-grant equal to or greater than $30,000. Refer to 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information at eCFR :: 2 CFR Part 170 -- Reporting Subaward and Executive Compensation Information and https://sam.gov/fsrs for reporting requirements and guidance.

Unique Entity Identifier (UEI)
The UEI is the official identifier for doing business with the U.S. Government as of April 4, 2022. The UEI is generated and assigned by the System for Award Management at SAM.gov. In accordance with 2 CFR part 25, Appendix A, a recipient must maintain current information in SAM.gov, through at least annual review, until it submits the final required financial report or receives the final payment, whichever is later.

Required Disclosures for Responsibility and Qualification (R/Q) (SAM.gov): 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 assigned GMS/GMO identified in the NOA, and to the HHS OIG by email at grantdisclosures@oig.hhs.gov or by mail to the following address:

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

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 include 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 Responsibilities and Qualifications (R/Q) accessible through SAM (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)).

1. General Reporting Requirement

If the total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, the recipient must maintain the currency of information reported to the System for Award Management (SAM) and made available in the designated integrity and performance system (currently the Responsibility/Qualification (R/Q) through SAM.gov) about civil, criminal, or administrative proceedings described in section 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the federal government;

b. Reached its final disposition during the most recent five-year period; and

c. If one of the following:

(1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

(3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each

proceeding described in section 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under federal procurement contracts that you were awarded.

4. Reporting Frequency

During any period of time when you are subject to this requirement in section 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (*e.g.*, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and state level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the federal share of the funding under any federal award with a recipient cost share or match;

(2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

GENERAL REQUIREMENTS

You will administer your project in compliance with the HHS Administrative and National Policy Requirements found at https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf.

Termination (45 CFR Part 75.372) applies to this award and states, in part, the following:

This award may be terminated in whole or in part:

(1) By the HHS awarding agency or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated.

However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Travel Cost: In accordance with HHS Grants Policy Statement, travel costs are allowable when the travel will provide a direct benefit to the project or program. To prevent disallowance of cost, the recipient is responsible for ensuring travel costs are clearly stated in their budget narrative and are applied in accordance with their organization's established travel policies and procedures. The recipient's established travel policies and procedures must also meet the requirements of 45 CFR Part 75.474.

Food and Meals: Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies. See https://www.hhs.gov/grants/contracts/contract-policies-regulations/spending-on-food/index.html. In addition, costs must be clearly stated in the budget narrative and be consistent with organization approved policies. Recipients must make a determination of reasonableness and organization approved policies must meet the requirements of 45 CFR Part 75.432.

Prior Approval: All requests which require prior approval, must bear the signature (or electronic authorization) of the authorized organization representative. The recipient should submit these requests no later than 120 days prior to the budget period's end date to ensure ample time remains to process and carry-out the request. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests are examples of actions that require prior approval, unless an expanded authority, or conversely a high-risk condition, is explicitly indicated in the NOA.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction
- Significant redirection of funds (i.e., cumulative changes of 25% of total award)
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Extensions to period of performance

Templates for prior approval requests can be found at: https://www.cdc.gov/grants/already-have-grant/prior-approval-requests.html.

Additional information on the electronic grants administration system CDC non-research awards utilize, GrantSolutions, can be found at: https://www.cdc.gov/grants/grantsolutions/index.html.

Recipient Contractual/Consultant Cost Agreements: In accordance with §2 CFR 200.325, all supporting documentation related to the elements outlined in the Budget Preparation Guidelines must be maintained by the recipient and available upon request. Recipients may submit supporting documentation via GrantSolutions Grants Management Services (GSGMS) Grant Notes to the assigned Grants Management Specialist.

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

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

Acknowledgment of Federal Funding: When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents --such as toolkits, resource guides, websites, and presentations (hereafter “statements”) --describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

> This [**project/publication/program/website, etc**.] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with 100 percent funded by CDC/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

If the HHS Grant or Cooperative Agreement IS partially funded with other non-governmental sources:

> This [**project/publication/program/website, etc.]** [**is/was**] supported by the

> Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with **XX** percentage funded by CDC/HHS and **$XX** amount and **XX** percentage funded by non- government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement.

Any amendments by the recipient to the acknowledgement statement must be coordinated with the HHS Awarding Agency.

If the recipient plans to issue a press release concerning the outcome of activities supported by HHS financial assistance, it should notify the HHS Awarding Agency in advance to allow for coordination.

Copyright Interests Provision: This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available without any embargo or delay after publication. Also, at the time of submission, Recipient and/or the Recipient's submitting author must also post the manuscript through PubMed Central (PMC) without any embargo or delay after publication. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted article reserve adequate right to fully comply with this provision and the license reserved by CDC.

The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar 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 reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Logo Use for Conference and Other Materials: Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. As a general matter, a non-federal entity is not authorized to use the HHS name or logo. Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). The appropriate use of the HHS logo is subject to review and approval of the HHS Assistant Secretary for Public Affairs (ASPA), and if granted would be governed by a logo license agreement setting forth the terms and conditions of use.

Additionally, the CDC logo cannot be used by the recipient without the express, written consent of CDC, generally in the form of a logo license agreement setting forth the terms and conditions of use. The Program Official/Project Officer identified in the NOA can assist with facilitating such a request. It is the responsibility of the recipient 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 recipient must ensure written consent is received.

Equipment and Products: To the greatest extent practical, 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 $10,000 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 recipient may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

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

FISMA applies to CDC recipients only when recipients 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 recipient retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a recipient 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: https://www.govinfo.gov/content/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf.

Whistleblower Protections: As a recipient of this award, you must comply with the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, 41 U.S.C. § 4712) "Enhancement of contractor protection from reprisal for disclosure of certain information," and 48 CFR part 3 subpart 3.9, "Whistleblower Protections for Contractor Employees." For more information see: https://oig.hhs.gov/fraud/whistleblower/.

Cybersecurity Requirements: Recipients shall develop plans and procedures, modeled after the NIST Cybersecurity framework, to protect HHS and CDC systems and data, if the following conditions are met: 1) recipients, subrecipients, or third-party entities have ongoing and consistent access to HHS owned or operated information or operational technology systems and 2) recipients, subrecipients, or third-party entities receive, maintain, transmit, store, access, exchange, process, or utilize personal identifiable information (PII) or personal health information (PHI) obtained from the awarding HHS agency for the purposes of executing the award. Where both conditions exist, recipients must develop cybersecurity plans and procedures modeled after the NIST Cybersecurity framework (https://www.nist.gov/cyberframework) to protect HHS systems and data.

PAYMENT INFORMATION

Fraud Waste or Abuse: 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 online at https://tips.oig.hhs.gov/ or by mail to U.S. Department of Health and Human Services, Office of the Inspector General, Attn: OIG HOTLINE OPERATIONS, P.O. Box 23489 Washington DC 20026. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.

For additional information, see: https://oig.hhs.gov/fraud/report-fraud/.

Automatic Drawdown (Direct/Advance Payments): Payments under CDC awards will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS), under automatic drawdown, unless specified otherwise in the NOA. Recipients must comply with requirements imposed by the PMS on-line system. Questions concerning award payments or audit inquiries should be directed to the payment management services office.

PMS Website: https://pms.psc.gov/
PMS Phone Support: +1(877)614-5533
PMS Email Support: PMSSupport@psc.gov

Payment Management System Subaccount: Funds awarded in support of approved activities will be obligated in an established subaccount in the PMS. 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.

Exchange Rate: All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC will generally not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

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

Certification Statement: By drawing down funds, the recipient 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 in the NOFO, outlined in their NOA, 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

In accordance with 2 CFR 200.344, recipients must submit all closeout reports identified in this section within 120 days of the period of performance end date. The reporting timeframe is the full period of performance. If the recipient does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, CDC may proceed to close out with the information available within one year of the period of performance end date unless otherwise directed by authorizing statutes. 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). If recipients do not submit all closeout reports identified in this section within one year of the period of performance end date, then CDC must report recipients' material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently Responsibility/Qualification section of SAM.gov). CDC may also pursue other enforcement actions per 45 CFR 75.371.

Final Performance Progress and Evaluation Report (PPER): This report should include the information specified in the NOFO and is submitted upon solicitation from the GMS/GMO via www.grantsolutions.gov. At a minimum, the report will include the following:

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

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

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds

authorized and expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date through recipient online accounts in the Payment Management System. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

Every recipient should already have a PMS account to allow access to complete the SF-425.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of $10,000 or more. Electronic versions of the forms can be downloaded by visiting: https://www.grants.gov/forms/forms-repository/post-award-reporting-forms.

If no equipment was acquired under an award, a negative report is required. The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than $10,000 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 (see 2 CFR 200.313(e)(1)).

CDC STAFF RESPONSIBILITIES

Roles and Responsibilities: Grants Management Specialists/Officers (GMO/GMS) and Program Officials (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. Award specific terms and conditions will include contact information for the PO/GMO/GMS.

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

- The development of programs and NOFOs 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 recipients in the performance of their project; and
- Post-award monitoring of recipient 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.

For Cooperative Agreements, substantial involvement is required from CDC. The PO is the federal official responsible for the collaboration or participation in carrying out the effort under the award. Substantial involvement will be detailed in the NOFO and award specific terms and conditions and may include, but is not limited to:

- Review and approval of one stage of work before work can begin on a subsequent stage;
- Review and approval of substantive programmatic provisions of proposed subawards or contracts (beyond existing federal review of procurement or sole source policies);
- Involvement in the selection of key relevant personnel;
- CDC and recipient collaboration or joint participation; and
- Implementing highly prescriptive requirements prior to award limiting recipient discretion with respect to scope of services, organizational structure, staffing, mode of operation, and other management processes.

Grants Management Officer: 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. 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 NOFO;
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy;
- Ensuring recipient compliance with applicable laws, regulations, and policies;
- Negotiating awards, including budgets;
- Responding to recipient inquiries regarding the business and administrative aspects of an award;
- Providing recipients 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, budget redirection, or changes to the terms and conditions of an award; and
- Maintaining the official grant file and program book.

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 in the GMO section are performed by the GMS, on behalf of the GMO.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
Atlanta GA 30333

General Terms and Conditions for Research Grants and Cooperative Agreements

Incorporation: The U.S. Department of Health and Human Services (HHS) grant recipients must comply with: all terms and conditions outlined in the Notice of Funding Opportunity (NOFO); their Notice of Award (NOA); grants policy contained in applicable HHS Grants Policy Statements; HHS grant administration regulations (e.g., 45 CFR Part 75, 2 CFR 200 (as applicable)); requirements imposed by program statutes and regulations; applicable Executive Orders; HHS Administrative and National Policy Requirements; HHS policies, directives, and guidance; and requirements or limitations in any applicable appropriations acts. The term grant is used throughout these general terms and conditions of award and includes cooperative agreements.

Note: In the event that any requirement in the NOA, the NOFO, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Antidiscrimination Compliance: By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024

This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	Replaces 45 CFR 75 citation
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

FEDERAL REGULATIONS AND POLICIES

2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Referenced where indicated and applicable.
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. https://www.ecfr.gov/cgi-bin/text- idx?node=pt45.1.75&rgn=div5

HHS Administrative and National Policy Requirements
https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf

HHS Grants Policy and Regulations. https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html

HHS Grants Policy Statement (effective July 24, 2025)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-july-2025.pdf

HHS Grants Policy Statement (effective for new, continuation, and supplemental awards made on or after October 1, 2024)
https://www.hhs.gov/sites/default/files/hhs-grants-policy-statement-october-2024.pdf

HHS Grants Policy Statement (January 2007 version applies to awards issued before October 1, 2024)
https://public3.pagefreezer.com/browse/HHS.gov/27-09-2024T06:59/https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf

Federal Funding Accountability and Transparency Act (FFATA). https://sam.gov/fsrs.
Refer to the section below on Reporting Requirements for more details.

Trafficking In Persons: Consistent with 2 CFR 175, awards are subject to the requirements of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. Part 7104(g)).
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175

FUNDING RESTRICTIONS AND LIMITATIONS

Human Subjects: Under governing regulations, federal funds administered by the Department of Health and Human Services shall not be expended for research involving human subjects, and individuals shall not be enrolled in such research, without prior approval by the Office for Human Research Protection (OHRP) of an assurance to comply with the requirements of 45 CFR Part 46 to protect human research subjects. Whenever an institution receives funding from an HHS agency to support such research, the awardee institution bears the ultimate responsibility for protecting human subjects under the award. Compliance for all performance sites must be ensured by the awardee.

All recipients of CDC grants and cooperative agreements and their performance sites engaged in research involving human subjects must obtain 1) a Federal wide Assurance (FWA) of Protection for Human Subjects from OHRP and 2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board (IRB). For instructions on registering IRBs and obtaining FWAs, see the OHRP website at: https://www.hhs.gov/ohrp.

Cost Limitations as Stated in Appropriations Acts. Recipients must follow the fiscal year appropriations law in effect at the time of award and consistent with the specific funds provided under that award. The general provisions for grants, cooperative agreements and loans funded by the Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act is available at: https://www.congress.gov/resources/display/content/Appropriations+and+Budget.

Though Recipients are required to comply with all applicable appropriations restrictions, please find below specific ones of note. CDC notes that the cited section for each below provision may change annually.

A. Cap on Salaries (Division H, Title II, General Provisions, Sec. 202): None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.

   Note: The salary rate limitation does not restrict the salary that an organization may pay an individual working under an HHS award or order; it merely limits the portion of that salary that may be paid with federal funds. The HHS Grants Policy Statement further explains the application of this salary rate limitation.

B. Gun Control Prohibition (Div. H, Title II, Sec. 210): None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

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

   - 503(a): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive- legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or

any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

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

For additional information, see Anti-Lobbying Restrictions for CDC Grantees https://www.cdc.gov/grants/documents/Anti-Lobbying-Restrictions.pdf.

D. Blocking access to pornography (Div. H, Title V, Sec. 520): (a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

E. Needle Exchange (Div. H, Title V, Sec. 526): Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Prohibition on certain telecommunications and video surveillance services or equipment (2 CFR 200.216)**:** For all new, non-competing continuation, renewal or supplemental awards issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending grant funds (to include direct and indirect expenditures as well as cost share and program funds) to:

1. Procure or obtain,
2. Extend or renew a contract to procure or obtain; or
3. Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in 2 CFR 200.216, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or

ZTE Corporation (or any subsidiary or affiliate of such entities).

i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

ii. Telecommunications or video surveillance services provided by such entities or using such equipment.

iii. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

President's Emergency Plan for AIDS Relief (PEPFAR) funding is exempt from the prohibition under 2 CFR 200.216 until September 30, 2028. During the exemption period, PEPFAR recipients are expected to work toward implementation of 2 CFR 200.216. The exemption may only be applied when there is no available alternative eligible source for these services.

Certificate of Confidentiality: Institutions and investigators are responsible for determining whether research they conduct is subject to Section 301(d) of the Public Health Service (PHS) Act. Section 301(d), as amended by Section 2012 of the 21st Century Cures Act, P.L. 114-255 (42 U.S.C. 241(d)), states that the Secretary shall issue Certificates of Confidentiality (Certificates) to persons engaged in biomedical, behavioral, clinical, or other research activities in which identifiable, sensitive information is collected. In furtherance of this provision, CDC supported research commenced or ongoing after December 13, 2016 in which identifiable, sensitive information is collected, as defined by Section 301(d), is deemed issued a Certificate and therefore required to protect the privacy of individuals who are subjects of such research. Certificates issued in this manner will not be issued as a separate document but are issued by application of this term and condition to the award. See additional information on requirements at: https://www.cdc.gov/grants/additional-requirements/ar- 36.html.

Dual Use Research of Concern: In 2024, the United States Government Policy for Oversight of Dual Use Research of Concern and Pathogens with Enhanced Pandemic Potential ("the Policy") was released to address oversight of research on biological agents and toxins that, when enhanced, have the potential to pose risks to public health, agriculture, food security, economic security, or national security. The policy applies to recipients in the United States who receive Federal funding for life sciences research and who conduct or sponsor research involving any of the listed pathogens or toxins listed in the policy. This policy also applies to foreign recipients who receive Federal funding to conduct or sponsor research involving any of the listed pathogens or toxins. Research funded by CDC involving these agents or toxins must be reviewed to determine if it involves one or more of the listed experimental effects and if so, whether it meets the definition of DURC or creates PEPP. This review must be completed by an Institutional Review Entity (IRE) identified by the funded institution. Many institutions task their Institutional Biosecurity or Biosafety Boards or Committees with this responsibility. See additional

information on requirements at: https://www.cdc.gov/grants/additional-requirements/ar-33.html.

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

Awards that Involve Procurement of Synthetic Nucleic Acids for Benchtop Synthesizers: Beginning April 26, 2025, HHS funds may only be used to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment from sources adhering to the Office of Science and Technology Policy Framework for Nucleic Acid Synthesis Screening. HHS awardees are expected to adhere to the Office of Science and Technology Policy Framework for Nucleic Acid Synthesis Screening for HHS projects.

REPORTING REQUIREMENTS

Annual Federal Financial Report (FFR, SF-425): The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted no later than 90 days after the end of the budget period in the Payment Management System.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

If more frequent reporting is required, the Notice of Award terms and conditions will explicitly state the reporting requirement.

Annual Performance Reporting: The Research Performance Progress Report (RPPR) serves as the annual performance report and is due no later than (NLT) 120 days prior to the end of the budget period, or the date identified in the guidance distributed by the GMS/GMO. This report also serves as the continuation application.

The RPPR is completed using the NIH eRA Commons system. Refer to the “NIH and Other PHS Agency RPPR Instruction Guide” at https://grants.nih.gov/grants/rppr/index.htm for detailed instructions on completing the report. There are no forms available for download, however instructions on submitting RPPR information are available in the NIH RPPR Instruction Guide. Recipients can find further information on the RPPR at: https://grants.nih.gov/grants/rppr/index.htm.

Recipients must also submit a final RPPR for closeout purposes.

Data Collection and Sharing Under Award: Consistent with strategies and activities expected and anticipated under this award, Recipient, either directly or indirectly, may be expected to collect or generate data for public health purposes. For purposes of this award, data for public health purposes may be administrative data or data commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation, but does not include preliminary analyses, drafts of scientific papers, plans for future research communications with colleagues, or physical objects, such as laboratory notebooks or laboratory specimens unless otherwise specified in the award.

45 C.F.R. 75.322(d) states that the federal government has the right to: 1) obtain, reproduce, publish, or otherwise use the data produced under a federal award; and 2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes. In furtherance of various United States Government-wide initiatives and policies, the federal government seeks to make federally funded publications and data underlying them more readily available, and to make public health data more readily accessible within the federal government and to the public.

Consistent with grant regulations, CDC may legally obtain a copy of any data collected or generated under this award. Where CDC has determined that data collected or generated under this award must be shared with CDC, such direction will be further addressed in your Notice of Funding Opportunity, your Notice of Grant Award, or other specific grant guidance. Acceptance of funds under this award is an acknowledgement of this regulatory provision and its application to this award.

Data Management Plan: CDC requires recipients for projects that involve the collection or generation of data with federal funds to develop, submit, and comply with a Data Management Plan (DMP) for each collection or generation of public health data undertaken as part of the award. The DMP should take into consideration sharing data with CDC including: 1) the specific data that will be shared under the award, 2) the process and timing planned for such sharing, 3) and any legal limitations that the Recipient asserts would hinder CDC access to, or use of, the data collected or generated under the award. In addition, the DMP should address broader access to and archiving/long-term preservation of collected or generated data. Additional information on the Data Management and Access requirements can be found at https://www.cdc.gov/grants/additional-requirements/ar- 25.html.

Audit Requirement Domestic Organizations *(including US-based organizations implementing projects with foreign components)*: An organization that expends $1,000,000 or more in a fiscal year in federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. The audit period is an organization's fiscal year. The audit must be completed along with a data collection form (SF-SAC), and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to:

Federal Audit Clearing House Internet Data Entry System Electronic Submission:
https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART), ORMIC.Audit.Resolution@cdc.gov.

Audit Requirement Foreign Organizations: A foreign organization that expends $300,000 or more in a fiscal year on its federal awards must have a single or program-specific audit conducted for that year. The audit period is an organization's fiscal year. The auditor shall be a U.S.-based Certified Public Accountant firm, the foreign government's Supreme Audit Institution or equivalent, or an audit firm endorsed by the U.S. Agency for International Development's Office of Inspector General. The audit must be completed in English and in US dollars, and submitted within the earlier of 30 days

after receipt of the auditor's report(s), or nine (9) months after the end of the audit period. The audit report must be sent to the Office of Financial Resources, Office of Risk Management and Internal Controls, Audit Resolution Team (ART) at ORMIC.Audit.Resolution@cdc.gov. After receipt of the audit report, CDC will resolve findings by issuing Final Management Determination Letters.

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

Federal Funding Accountability and Transparency Act (FFATA)
In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information, Prime Recipients 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 recipient awards any sub-grant equal to or greater than $30,000. Refer to 2 CFR Chapter 1, Part 170 Reporting Sub-Award and Executive Compensation Information at eCFR :: 2 CFR Part 170 -- Reporting Subaward and Executive Compensation Information and https://sam.gov/fsrs for reporting requirements and guidance.

Unique Entity Identifier (UEI)
The UEI is the official identifier for doing business with the U.S. Government as of April 4, 2022. The UEI is generated and assigned by the System for Award Management at SAM.gov. In accordance with 2 CFR part 25, Appendix A, a recipient must maintain current information in SAM.gov, through at least annual review, until it submits the final required financial report or receives the final payment, whichever is later.

Required Disclosures for Responsibility and Qualification (R/Q) (SAM.gov): 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 assigned GMS/GMO identified in the NOA, and to the HHS OIG by email at grantdisclosures@oig.hhs.gov or by mail to the following address:

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 527
Washington, DC 20201

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 include 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 Responsibilities and Qualifications (R/Q) accessible through SAM (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)).

1. *General Reporting Requirement*

   If the total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, the recipient must maintain the currency of information reported to the System for Award Management (SAM) and made available in the designated integrity and performance system (currently the Responsibility/Qualification (R/Q) through SAM.gov) about civil, criminal, or administrative proceedings described in section 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C.2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. *Proceedings About Which You Must Report*

   Submit the information required about each proceeding that:

   a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the federal government;

   b. Reached its final disposition during the most recent five-year period; and

   c. If one of the following:

      (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

      (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

      (3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

      (4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in section 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under federal procurement contracts that you were awarded.

4. Reporting Frequency

During any period of time when you are subject to this requirement in section 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and State level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the federal share of the funding under any federal award with a recipient cost share or match;

(2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

GENERAL REQUIREMENTS

You will administer your project in compliance with the HHS Administrative and National Policy Requirements found at https://www.hhs.gov/sites/default/files/hhs-administrative-national-policy-requirements.pdf.

Termination (45 CFR Part 75.372) applies to this award and states, in part, the following:

(a) This award may be terminated in whole or in part:

(1) By the HHS awarding agency or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Travel Cost: In accordance with HHS Grants Policy Statement, travel costs are allowable when the travel will provide a direct benefit to the project or program. To prevent disallowance of cost, the recipient is responsible for ensuring travel costs are clearly stated in their budget narrative and are applied in accordance with their organization's established travel policies and procedures. The recipient's established travel policies and procedures must also meet the requirements of 45 CFR Part 75.474.

Food and Meals: Costs associated with food or meals are allowable when consistent with applicable federal regulations and HHS policies. See https://www.hhs.gov/grants/contracts/contract-policies-regulations/spending-on-food/index.html. In addition, costs must be clearly stated in the budget narrative and be consistent with organization approved policies. Recipients must make a determination of reasonableness and organization approved policies must meet the requirements of 45 CFR Part 75.432.

Prior Approval: All requests, which require prior approval, must bear the signature (or electronic authorization) of the authorized organization representative. The recipient should submit these requests no later than 120 days prior to the budget period's end date to ensure ample time remains to process and carry-out the request. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests are examples of actions that require prior approval, unless an expanded authority, or conversely a high-risk condition, is explicitly indicated in the NOA.

- Use of unobligated funds from prior budget period (Carryover)
- Lift funding restriction
- Significant redirection of funds (i.e., cumulative changes of 25% of total award)
- Change in scope
- Implement a new activity or enter into a sub-award that is not specified in the approved budget
- Apply for supplemental funds
- Extensions to period of performance

Templates for prior approval requests can be found at: https://www.cdc.gov/grants/already-have-grant/prior-approval-requests.html.

Recipient Contractual/Consultant Cost Agreements: In accordance with 45 CFR 75.333, all supporting documentation related to the contractual/consultant elements outlined in the Budget Preparation Guidelines must be maintained by the recipient and available upon request. Recipients may submit supporting documentation via email to the assigned Grants Management Specialist (GMS) and Scientific Project Officer/Project Officer (SPO/PO).

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

Inventions: Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR Part 401.14. Invention reporting responsibilities also are summarized in the HHS Grants Policy Statement, *Exhibit 9. Extramural Invention Reporting Compliance Responsibilities*. CDC requires invention reporting electronically through iEdison, which is available at https://www.nist.gov/iedison.

In addition to complying with Bayh-Dole-related regulations (37 CFR Part 401), each continuation annual performance report for CDC awards must indicate whether or not any subject inventions were made during the preceding budget period.

Information on submitting the Final Invention Statement is located below in the *Closeout Requirements* section of these terms and conditions.

Acknowledgment of Federal Funding: When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents --such as tool-kits, resource guides, websites, and presentations (hereafter “statements”) --describing the projects or programs funded in whole or in part with U.S. Department of Health and Human Services (HHS) federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by HHS financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following or a similar statement.

If the HHS Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

> This [**project/publication/program/website, etc**.] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with 100 percent funded by CDC/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The HHS Grant or Cooperative Agreement IS partially funded with other non-governmental sources:

> This [**project/publication/program/website, etc.**] [**is/was**] supported by the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling **$XX** with **XX** percentage funded by CDC/HHS and **$XX** amount and **XX** percentage funded by non- government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by CDC/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement.

Any amendments by the recipient to the acknowledgement statement must be coordinated with the HHS Awarding Agency.

If the recipient plans to issue a press release concerning the outcome of activities supported by HHS financial assistance, it should notify the HHS Awarding Agency in advance to allow for coordination.

Copyright Interests Provision: This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC's Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available without any embargo or delay after publication. Also, at the time of submission, Recipient and/or the Recipient's submitting author must post the manuscript through PubMed Central (PMC) without any embargo or delay after publication. The

recipient must obtain prior approval from the CDC for any exception to this provision.

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

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar 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 reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

Logo Use for Conference and Other Materials: Neither the Department of Health and Human Services (HHS) nor the CDC logo may be displayed if such display would cause confusion as to the funding source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. Part 1320b-10, which prohibits misuse of the HHS name and emblem in written communication. As a general matter, a non-federal entity is not authorized to use the HHS name or logo. Moreover, the HHS Office of the Inspector General has authority to impose civil monetary penalties for violations (42 CFR Part 1003). The appropriate use of the HHS logo is subject to review and approval of the HHS Assistant Secretary for Public Affairs (ASPA), and if granted would be governed by a logo license agreement setting forth the terms and conditions of use.

Additionally, the CDC logo cannot be used by the recipient without the express, written consent of CDC, generally in the form of a logo license agreement setting forth the terms and conditions of use. The Program Official/Project Officer identified in the NOA can assist with facilitating such a request. It is the responsibility of the recipient 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 recipient must ensure written consent is received.

Equipment and Products: To the greatest extent practical, 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 $10,000 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 recipient may use its own property management standards and procedures, provided it observes provisions in applicable grant regulations found at 45 CFR Part 75.

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

FISMA applies to CDC recipients only when recipients 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 recipient retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a recipient 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: https://www.gpo.gov/fdsys/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf.

Whistleblower Protections: As a recipient of this award you must comply with the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, 41 U.S.C. § 4712) "Enhancement of contractor protection from reprisal for disclosure of certain information," and 48 CFR part 3 subpart 3.9, "Whistleblower Protections for Contractor Employees." For more information see: https://oig.hhs.gov/fraud/whistleblower/.

Public Health Service Policies on Research Misconduct: CDC-funded projects must comply with 42 CFR Part 93, PHS Policies on Research Misconduct, Subpart C, "Responsibilities of Institutions." 42 CFR Part 93, Subpart C specifies recipient responsibilities to have written policies and procedures for addressing allegations of research misconduct, to file and maintain an Assurance of Compliance with the HHS Office of Research Integrity (https://ori.hhs.gov/) and take all reasonable and practical steps to foster research integrity.

Inclusion of Persons Under the Age of 21 in Research: It is CDC's policy that persons under the age of 21 must be included in all human subjects research that is conducted or supported by CDC, unless there are scientific and ethical reasons not to include them. This policy applies to all CDC-conducted or CDC-supported research involving human subjects, including research that is otherwise exempt in accordance with Sections 101(b) and 401(b) of 45 C.F.R. Part 46, HHS Policy for the Protection of Human Subjects. Therefore, proposals for research involving human subjects must include a description of plans for including persons under the age of 21. If persons under the age of 21 will be excluded from the research, the application or proposal must present an

acceptable justification for the exclusion. Additional information is available at https://www.cdc.gov/grants/additional-requirements/ar-28.html.

Cybersecurity Requirements: Recipients shall develop plans and procedures, modeled after the NIST Cybersecurity framework, to protect HHS and CDC systems and data, if the following conditions are met: 1) recipients, subrecipients, or third-party entities have ongoing and consistent access to HHS owned or operated information or operational technology systems and 2) recipients, subrecipients, or third-party entities receive, maintain, transmit, store, access, exchange, process, or utilize personal identifiable information (PII) or personal health information (PHI) obtained from the awarding HHS agency for the purposes of executing the award. Where both conditions exist, recipients must develop cybersecurity plans and procedures modeled after the NIST Cybersecurity framework (https://www.nist.gov/cyberframework) to protect HHS systems and data.

PAYMENT INFORMATION

Fraud Waste or Abuse: 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 online at https://tips.oig.hhs.gov/ or by mail to U.S. Department of Health and Human Services, Office of the Inspector General, Attn: OIG HOTLINE OPERATIONS, P.O. Box 23489 Washington DC 20026. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. For additional information, see: https://oig.hhs.gov/fraud/report-fraud/.

Automatic Drawdown (Direct/Advance Payments): Payments under CDC awards will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS), under automatic drawdown, unless specified otherwise in the NOA. Recipients must comply with requirements imposed by the PMS on-line system. Questions concerning award payments or audit inquiries should be directed to the payment management services office.

PMS Website: https://pms.psc.gov/
PMS Phone Support: +1(877)614-5533
PMS Email Support: PMSSupport@psc.gov

Payment Management System Subaccount: Funds awarded in support of approved activities will be obligated in an established subaccount in the PMS. 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.

Exchange Rate: All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC will not generally compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

Acceptance of the Terms of an Award: By drawing or otherwise obtaining funds from PMS, the recipient acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot

accept the terms, the recipient should notify the Grants Management Officer within thirty (30) days of receipt of the NOA.

Certification Statement: By drawing down funds, the recipient 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 in the NOFO, outlined in their NOA, 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

In accordance with 2 CFR 200.344, recipients must submit all closeout reports identified in this section within 120 days of the period of performance end date. The reporting timeframe is the full period of performance. If the recipient does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, CDC may proceed to close out with the information available within one year of the period of performance end date unless otherwise directed by authorizing statutes. 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). If recipients do not submit all closeout reports identified in this section within one year of the period of performance end date, then CDC must report recipients' material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently Responsibility/Qualification section of SAM.gov). CDC may also pursue other enforcement actions per 45 CFR 75.371.

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

The final reports required are the following:

Final Research Performance Progress Report: The Final RPPR is completed using the NIH eRA Commons system. Refer to the "NIH and Other PHS Agency RPPR Instruction Guide" at https://grants.nih.gov/grants/rppr/index.htm for detailed instructions on completing the report. There are no forms available for download, however instructions on submitting the Final RPPR information are available in the NIH RPPR Instruction Guide.

Recipients can find further information on the RPPR at: https://grants.nih.gov/grants/rppr/index.htm.

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds authorized and expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date through recipient online accounts in the Payment Management System. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury.

Every recipient should already have a PMS account to allow access to complete the SF-425.

Additional guidance on submission of Federal Financial Reports can be found at https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf.

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of $10,000 or more. Electronic versions of the forms can be downloaded by visiting: https://www.grants.gov/forms/forms-repository/post-award-reporting-forms.

If no equipment was acquired under an award, a negative report is required.

The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than $10,000 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 (see 2 CFR 200.313(e)(1)).

Final Invention Statement: A Final Invention Statement must be submitted. Electronic versions of the form can be downloaded by visiting https://grants1.nih.gov/grants/hhs568.pdf.

If no inventions were conceived under an assistance award, a negative report is required. This statement may be included in a cover letter.

CDC STAFF RESPONSIBILITIES

Roles and Responsibilities: Grants Management Specialists/Officers (GMO/GMS) and Program Officials (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.

Scientific Program Official: The SPO is the federal official responsible for the normal scientific and programmatic stewardship of grants and cooperative agreements including:

- Being named as the Scientific Program Official to provide oversight and assure overall scientific and programmatic stewardship of the award;

- Collaborating, as appropriate, with the recipient in all stages of the program, and providing post-award scientific review and administrative guidance;
- Monitoring performance against approved project objectives;
- Making recommendations on requests for changes in scope, objectives, and/or budgets that deviate from the approved peer-reviewed application;
- Assessing the public health impact of the research conducted under this funding opportunity announcement and promoting translation of promising practices, programs, interventions, and other results from the research; and
- Serving as the primary point of contact on official award-related activities, including an annual review of the grantee's performance as part of the request for continuation application.

For Cooperative Agreements, substantial involvement is required from CDC. The SPO is the federal official responsible for the collaboration or participation in carrying out the effort under the award. Substantial involvement may include, but is not limited to:

- Review and approval of one stage of work before work can begin on a subsequent stage;
- Review and approval of substantive programmatic provisions of proposed subawards or contracts (beyond existing federal review of procurement or sole source policies);
- Involvement in the selection of key relevant personnel;
- CDC and recipient collaboration or joint participation; and
- Implementing highly prescriptive requirements prior to award limiting recipient discretion with respect to scope of services, organizational structure, staffing, mode of operation, and other management processes.

Grants Management Officer: 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. 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 NOFO;
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy;
- Ensuring recipient compliance with applicable laws, regulations, and policies;
- Negotiating awards, including budgets;
- Responding to recipient inquiries regarding the business and administrative aspects of an award;

- Providing recipients 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, budget redirection, or changes to the terms and conditions of an award; and
- Maintaining the official grant file and program book.

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 in the GMO section are performed by the GMS, on behalf of the GMO.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NU1VCE002206-01-00
FAIN# NU1VCE002206
Federal Award Date: 01/10/2022

Recipient Information

1. Recipient Name

Valorus
1215 K St Ste 1850
Sacramento, CA 95814-3948
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)

4. Employer Identification Number (EIN)

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier

7. Project Director or Principal Investigator

Mr. DAVID LEE
david@valor.us
916-446-2520

8. Authorized Official

Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Karen Zion
Grants Management Officer
wvf8@cdc.gov
770-488-2729

10.Program Official Contact Information
Ms. Melissa Gipson
Project Officer
DVP PPTB
MSG7@cdc.gov
770-488-4493

Federal Award Information

11. Award Number
1 NU1VCE002206-01-00

12. Unique Federal Award Identification Number (FAIN)
NU1VCE002206

13. Statutory Authority
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. Federal Award Project Title
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2022 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$345,000.00
	20a. Direct Cost Amount	$345,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Project Period Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	Not Available

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

Applicant applied as the California Coalition Against Sexual Assault, but has since changed the name to VALORUS.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NU1VCE002206-01-00
FAIN# NU1VCE002206
Federal Award Date: 01/10/2022

Recipient Information

Recipient Name

Valorus
1215 K St Ste 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN)
[redacted]

Data Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$174,097.00
b. Fringe Benefits	$51,759.00
c. Total Personnel Costs	$225,856.00
d. Equipment	$0.00
e. Supplies	$5,470.00
f. Travel	$9,950.00
g. Construction	$0.00
h. Other	$60,324.00
i. Contractual	$43,400.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-921Z2KH	22NU1VCE002206	CE	41.51	$345,000.00	75-22-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NU1VCE002206-01-00
FAIN# NU1VCE002206
Federal Award Date: 01/10/2022

Direct Assistance

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

AWARD ATTACHMENTS

Valorus 1 NU1VCE002206-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CE22-2202, titled E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention**, and application dated November 17, 2021, 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 **$345,000** is approved for the **Year 01** budget period, which is **February 1, 2022** through **January 31, 2023**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

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.

- Recipients must describe how CDC could help them overcome challenges to complete activities in the work plan and achieving period of performance outcomes.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

• Recipients may not use funds for research.
• Recipients may not use funds for clinical care except as allowed by law.
• Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
• Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
• Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the recipient.
• Other than for normal and recognized executive-legislative relationships, no funds may be used for:

- publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body
- the salary or expenses of any grant or contract recipient, or agent acting for such

recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body

• See Additional Requirement (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC recipients.
• The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than March 31, 2022.

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
Karen Zion, Grants Management Officer/Specialist
Centers for Disease Control and Prevention
Email: wvf8@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

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))

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU1VCE002206-02-00
FAIN# NU1VCE002206
Federal Award Date: 12/22/2022

Recipient Information

1. Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)

4. Employer Identification Number (EIN)

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)

7. Project Director or Principal Investigator
Mr. DAVID LEE
Deputy Director
david@valor.us
916-446-2520

8. Authorized Official
Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Karen Zion
Grants Management Specialist
wvf8@cdc.gov
770-488-2729

10.Program Official Contact Information
Kathryn M Jones
Project Officer
DVP PPTB
YDE9@cdc.gov
770-488-1118

Federal Award Information

11. Award Number
5 NU1VCE002206-02-00

12. Unique Federal Award Identification Number (FAIN)
NU1VCE002206

13. Statutory Authority
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. Federal Award Project Title
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2023 **- End Date** 01/31/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$345,000.00
	20a. Direct Cost Amount	$345,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Period of Perfomance Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$690,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

BP02 continuation award

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU1VCE002206-02-00
FAIN# NU1VCE002206
Federal Award Date: 12/22/2022

Recipient Information

Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type

Employer Identification Number (EIN) Data

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$183,186.00
b. Fringe Benefits	$53,930.00
c. Total Personnel Costs	$237,116.00
d. Equipment	$0.00
e. Supplies	$3,200.00
f. Travel	$8,536.00
g. Construction	$0.00
h. Other	$52,748.00
i. Contractual	$43,400.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$345,000.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NU1VCE002206-02-00
FAIN# NU1VCE002206
Federal Award Date: 12/22/2022

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 5 NU1VCE002206-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CE22-2202, titled E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention,**, and application dated September 15, 2022, 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 **$345,000** is approved for the **Year 02** budget period, which is **February 1, 2023** through **January 31, 2024**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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) dsubaccount information.

Budget Note Salaries and Wages: The salary for the Executive Director/CEO,Sandra Henriquez, is $204,000 and exceeds the salary cap of $203,700. Please adjust accordingly.
Budget Note Fringe Benefits: Please provide a breakout of fringe benefits as a grant note.
Budget Note Travel: Please provide either the names or job titles of travellers as a grant note.

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.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 “Remarks” of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient’s authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

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

Indirect Costs: Indirect costs are not applicable.

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
Karen Zion, Grants Management Officer/Specialist
Centers for Disease Control and Prevention
Branch 5
Email: wvf8@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

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))

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

For additional information and/or to obtain your agency point of contact at the PMS, see, https://pms.psc.gov/find-pms-liaison-accountant.html

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU1VCE002206-03-00
FAIN# NU1VCE002206
Federal Award Date: 01/19/2024

Recipient Information

1. **Recipient Name**
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. **Congressional District of Recipient**
06

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Mr. DAVID LEE
Deputy Director
david@valor.us
916-446-2520

8. **Authorized Official**
Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Anthony Cousins
Program Officer
uak8@cdc.gov
770.488.1873

Federal Award Information

11. **Award Number**
5 NU1VCE002206-03-00

12. **Unique Federal Award Identification Number (FAIN)**
NU1VCE002206

13. **Statutory Authority**
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. **Federal Award Project Title**
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Non-Competing Continuation

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$345,000.00
	20a. Direct Cost Amount	$345,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Period of Perfomance Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,035,000.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU1VCE002206-03-00
FAIN# NU1VCE002206
Federal Award Date: 01/19/2024

Recipient Information

Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$187,689.00
b. Fringe Benefits	$50,301.00
c. Total Personnel Costs	$237,990.00
d. Equipment	$0.00
e. Supplies	$6,187.00
f. Travel	$10,453.00
g. Construction	$0.00
h. Other	$53,870.00
i. Contractual	$36,500.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$345,000.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NU1VCE002206-03-00
FAIN# NU1VCE002206
Federal Award Date: 01/19/2024

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 5 NU1VCE002206-03-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CE22-2202, titled E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention, and application dated October 15,2022, 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 **$345,000** is approved for the **Year 03** budget period, which is **February 1, 2024** through **January 31, 2025**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Budget Note Expense Clarity: On the submitted budget, the supplies category lists “software renewals (such as anti-virus protection and website translators)” and the Other “Membership Dues and Licenses” category also lists “computer license renewal for software to keep valor current with updates and protection)”. Please provide clarity on the specific expenses accounted for in both these categories as a grant note.

Budget Note Fringe Benefits: Please provide a breakout of fringe benefits as a grant note.

Budget Note Travel: Please provide either the names or job titles of travelers as a grant note.

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.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 “Remarks” of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient’s authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

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

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

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
Brittany Fain, Grants Management Specialist
Centers for Disease Control and Prevention
Branch 5
Email: laa4@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

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))

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

For additional information and/or to obtain your agency point of contact at the PMS, see, https://pms.psc.gov/find-pms-liaison-accountant.html

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-01-01
FAIN# NU1VCE002206
Federal Award Date: 02/07/2022

Recipient Information

1. Recipient Name

Valorus
1215 K St Ste 1850
Sacramento, CA 95814-3948
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)

4. Employer Identification Number (EIN)

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier

7. Project Director or Principal Investigator

Mr. DAVID LEE
Deputy Director
david@valor.us
916-446-2520

8. Authorized Official

Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Karen Zion
Grants Management Officer
wvf8@cdc.gov
770-488-2729

10.Program Official Contact Information
Ms. Melissa Gipson
Project Officer
DVP PPTB
MSG7@cdc.gov
770-488-4493

Federal Award Information

11. Award Number
6 NU1VCE002206-01-01

12. Unique Federal Award Identification Number (FAIN)
NU1VCE002206

13. Statutory Authority
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. Federal Award Project Title
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2022 **- End Date** 01/31/2023	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$345,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Project Period Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	Not Available

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

Administrative Correction: The purpose of this revised Notice of Award is correct and change the budget period end date for budget period 01 to 1/31/2023.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-01-01
FAIN# NU1VCE002206
Federal Award Date: 02/07/2022

Recipient Information

Recipient Name

Valorus
1215 K St Ste 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type

Employer Identification Number (EIN)

Data Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$174,097.00
b. Fringe Benefits	$51,759.00
c. Total Personnel Costs	$225,856.00
d. Equipment	$0.00
e. Supplies	$5,470.00
f. Travel	$9,950.00
g. Construction	$0.00
h. Other	$60,324.00
i. Contractual	$43,400.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-921Z2KH	22NU1VCE002206	CE	41.51	$0.00	75-22-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU1VCE002206-01-01
FAIN# NU1VCE002206
Federal Award Date: 02/07/2022

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

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-01-02
FAIN# NU1VCE002206
Federal Award Date: 02/16/2022

Recipient Information

1. Recipient Name

Valorus
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)

4. Employer Identification Number (EIN)

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier

7. Project Director or Principal Investigator

Mr. DAVID LEE
Deputy Director
david@valor.us
916-446-2520

8. Authorized Official

Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Karen Zion
Grants Management Officer
wvf8@cdc.gov
770-488-2729

10.Program Official Contact Information
Ms. Melissa Gipson
Project Officer
DVP PPTB
MSG7@cdc.gov
770-488-4493

Federal Award Information

11. Award Number
6 NU1VCE002206-01-02

12. Unique Federal Award Identification Number (FAIN)
NU1VCE002206

13. Statutory Authority
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. Federal Award Project Title
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Organization Name Change

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2022 **- End Date** 01/31/2023	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$345,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Project Period Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	Not Available

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

The purpose of this action is to process a name change because the old name is still showing in the Payment Management System.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-01-02
FAIN# NU1VCE002206
Federal Award Date: 02/16/2022

Recipient Information

Recipient Name

Valorus
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type

Employer Identification Number (EIN)
[redacted]

Data Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$174,097.00
b. Fringe Benefits	$51,759.00
c. Total Personnel Costs	$225,856.00
d. Equipment	$0.00
e. Supplies	$5,470.00
f. Travel	$9,950.00
g. Construction	$0.00
h. Other	$60,324.00
i. Contractual	$43,400.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-921Z2KH	22NU1VCE002206	CE	41.51	$0.00	75-22-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU1VCE002206-01-02
FAIN# NU1VCE002206
Federal Award Date: 02/16/2022

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

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-03-01
FAIN# NU1VCE002206
Federal Award Date: 02/09/2024

Recipient Information

1. **Recipient Name**
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. **Congressional District of Recipient**
06

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Mr. DAVID LEE
Deputy Director
david@valor.us
916-446-2520

8. **Authorized Official**
Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Anthony Cousins
Program Officer
uak8@cdc.gov
770.488.1873

Federal Award Information

11. **Award Number**
6 NU1VCE002206-03-01

12. **Unique Federal Award Identification Number (FAIN)**
NU1VCE002206

13. **Statutory Authority**
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. **Federal Award Project Title**
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Deob/Reob

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$345,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Period of Perfomance Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,035,000.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-03-01
FAIN# NU1VCE002206
Federal Award Date: 02/09/2024

Recipient Information

Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$187,689.00
b. Fringe Benefits	$50,301.00
c. Total Personnel Costs	$237,990.00
d. Equipment	$0.00
e. Supplies	$6,187.00
f. Travel	$10,453.00
g. Construction	$0.00
h. Other	$53,870.00
i. Contractual	$36,500.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-921Z2KH	22NU1VCE002206	CE	41.51	93.136	($345,000.00)	75-23-0952
4-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$345,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU1VCE002206-03-01
FAIN# NU1VCE002206
Federal Award Date: 02/09/2024

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 6 NU1VCE002206-03-01

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS OF AWARD

Re-obligation of Funds: The purpose of this amended Notice of Award is to re-obligate funds in the amount of $345,000.00 to the Fiscal Year 2024 grant.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-03-02
FAIN# NU1VCE002206
Federal Award Date: 04/08/2024

Recipient Information

1. **Recipient Name**
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. **Congressional District of Recipient**
06

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Mr. DAVID LEE
Deputy Director
david@valor.us
916-446-2520

8. **Authorized Official**
Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Anthony Cousins
Program Officer
uak8@cdc.gov
770.488.1873

Federal Award Information

11. **Award Number**
6 NU1VCE002206-03-02

12. **Unique Federal Award Identification Number (FAIN)**
NU1VCE002206

13. **Statutory Authority**
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. **Federal Award Project Title**
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Notification of a Contractor or Consultant

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$345,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Period of Performance Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,035,000.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-03-02
FAIN# NU1VCE002206
Federal Award Date: 04/08/2024

Recipient Information

Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$187,689.00
b. Fringe Benefits	$50,301.00
c. Total Personnel Costs	$237,990.00
d. Equipment	$0.00
e. Supplies	$6,187.00
f. Travel	$10,453.00
g. Construction	$0.00
h. Other	$53,870.00
i. Contractual	$36,500.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$0.00	75-23-0952
4-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$0.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU1VCE002206-03-02
FAIN# NU1VCE002206
Federal Award Date: 04/08/2024

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 6 NU1VCE002206-03-02

1. Terms and Conditions-Contract Approval

ADDITIONAL TERMS AND CONDITIONS OF AWARD

Contract/Consultant: The purpose of this amended Notice of Award is to acknowledge receipt of all required elements for the Contract and Consultants below. This approval is in response to the request submitted by your organization dated March 25, 2024.

Shiree Teng
Audrey Jordan
ACS Digital Media

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-03-03
FAIN# NU1VCE002206
Federal Award Date: 07/15/2025

Recipient Information

1. Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. David S. Lee
david@valor.us
916-446-2520

8. Authorized Official
Ms. Sandra Henriquez
sandra@valor.us
916-446-2520

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Mr. Anthony Cousins
Program Officer
uak8@cdc.gov
770.488.1873

Federal Award Information

11. Award Number
6 NU1VCE002206-03-03

12. Unique Federal Award Identification Number (FAIN)
NU1VCE002206

13. Statutory Authority
301, 391(a)(2) and 392(a)(1) of the Public Health Service Act

14. Federal Award Project Title
PreventConnect: E-Learning Collaborative for Sexual Violence and Intimate Partner Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Grant Closeout

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$345,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$345,000.00
26.	**Period of Performance Start Date** 02/01/2022 **- End Date** 01/31/2025	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,035,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

This is a Closeout action.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU1VCE002206-03-03
FAIN# NU1VCE002206
Federal Award Date: 07/15/2025

Recipient Information

Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$187,689.00
b. Fringe Benefits	$50,301.00
c. Total Personnel Costs	$237,990.00
d. Equipment	$0.00
e. Supplies	$6,187.00
f. Travel	$10,453.00
g. Construction	$0.00
h. Other	$53,870.00
i. Contractual	$36,500.00
j. TOTAL DIRECT COSTS	$345,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$345,000.00
m. Federal Share	$345,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$0.00	75-22-0952
3-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$0.00	75-23-0952
4-921Z2KH	22NU1VCE002206	CE	41.51	93.136	$0.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU1VCE002206-03-03
FAIN# NU1VCE002206
Federal Award Date: 07/15/2025

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 6 NU1VCE002206-03-03

1. Terms and Conditions

GRANTEE: ValorUS

FUNDINDING OPPORTUNITY NUMBER: CE22-2202.NU1VE-Learning Collaborative for Sexual Violence and Intimate Partner

AWARD NUMBER: NU1VCE002206

ADDITIONAL TERMS AND CONDITIONS

FINAL CLOSEOUT: The purpose of this amended Notice of Award is to officially closeout Funding Opportunity Announcement Number CE 22-2202 award number NU1VCE002206. This action closes out budget years awarded within the project period dates of 02/01/2022 through 01/31/2025.

OFFICIAL CLOSEOUT: Effective as of July 10, 2025. The grantee has successfully satisfied all the funding opportunity announcement requirements and has submitted all required closeout documents.

PAYMENT MANAGEMENT SYSTEM/UNOBLIGATED BALANCES: The grantee may no longer draw down funds associated with the above listed award number in the Payment Management System (PMS). If unobligated funds were reported on the Final FFR those funds have been deobligated from the PMS Account.

RETENTION OF RECORDS: Grantee is reminded that HHS regulations require that financial records, supporting documents, and all other records pertinent to NU1VCE002206 are to be retained for a period of three years from the date of submission of the final FFR.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUF2CE002579-01-00
FAIN# NUF2CE002579
Federal Award Date: 01/22/2024

Recipient Information

1. Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kara Benjamin
Admin
kara.benjamin@dhs.wisconsin.gov
(608) 609-4176

8. Authorized Official
Ms. Debra Standridge
Deputy Secretary
dhsgrantreview@dhs.wisconsin.gov
608-266-8399

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Monique Tatum
itn8@cdc.gov
770-488-2617

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
1 NUF2CE002579-01-00

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002579

13. Statutory Authority
[AWARD AUTHORITY NOT DEFINED FOR CE08-801.NU50]

14. Federal Award Project Title
Wisconsin Sexual Violence Prevention Program (WI RPE)

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$747,057.00
	20a. Direct Cost Amount	$740,056.00
	20b. Indirect Cost Amount	$7,001.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$747,057.00
26.	**Period of Perfomance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$747,057.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mrs. Keisha Thompson
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUF2CE002579-01-00
FAIN# NUF2CE002579
Federal Award Date: 01/22/2024

Recipient Information

Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$88,617.00
b. Fringe Benefits	$37,122.00
c. Total Personnel Costs	$125,739.00
d. Equipment	$0.00
e. Supplies	$2,915.00
f. Travel	$4,968.00
g. Construction	$0.00
h. Other	$13,434.00
i. Contractual	$593,000.00
j. TOTAL DIRECT COSTS	$740,056.00
k. INDIRECT COSTS	$7,001.00
l. TOTAL APPROVED BUDGET	$747,057.00
m. Federal Share	$747,057.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$747,057.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUF2CE002579-01-00
FAIN# NUF2CE002579
Federal Award Date: 01/22/2024

Direct Assistance

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

AWARD ATTACHMENTS

STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES 1 NUF2CE002579-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0027, entitled Rape Prevention and Education, and application dated November 30, 2023, 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 $747,057 is approved for the Year 01 budget period, which is February 1, 2024 through January 31, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Technical Review: Within 5 days of this Notice of Award's (NoA) issue date, the Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NoA with any questions regarding this document or any follow up requirements.

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.

1. Provide CDC-developed tools and resources such as VetoViolence, CDC Violence Prevention Resources for Action (previously referred to as Technical Packages), SV Indicator Tools, RPE Evaluation Plan Guidance, RPE Implementation Guidance, Community-Level Guidance, etc.

2. Provide individual technical assistance to recipients as needed.
3. Review APRs, evaluation plans and tools, and SAPs, and provide feedback.
4. Facilitate Collaborative Learning opportunities including:
    - Routine conference calls, webinars, and information exchange between recipients
    - Collaborative meetings with state and national partners
    - Develop mechanism for documenting and sharing lessons learned

5. Evaluation: Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC or CDC-funded TTA providers include, but are not limited to:
    - Identifying local and state data available to monitor SV indicators.

- Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
- Assisting with planning and identifying measures to evaluate the selected programs and state and local efforts.
- Providing guidance on evaluating recipient's performance of program activities and compliance with award performance standards

Budget Revision Requirement: By March 4, 2024 the recipient must submit a revised budget with a narrative justification for the following for Cost Category:
Supply Cost -provide itemized budget for curriculum and prevention educational materials.

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.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

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

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

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

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions: Act [42 U.S.C. 280b-1c]). The legislation stipulates the following:

- Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.
- An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
- Amounts provided to applicants must be used to supplement, and not supplant Preventive Health and Health Services Block grant, other Federal, State, and local public

funds expended to provide the activities described above.
- Funds may not be used to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence (with the exception of hotlines).
- Funds may not be used for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are approved based on the negotiated indirect cost rate agreement dated June 16, 2023**,** which calculates indirect costs as follows, a Provisional is approved at a rate of 7.90% of the base, which includes, direct salaries and wages including vacation, holiday, sick pay and other paid absences but excluding all other fringe benefits. The effective dates of this indirect cost rate are from July 1, 2022 to June 30, 2025.

Missing Contractual/Consultant Elements – The contract(s) listed below are **not** approved and the recipient may not begin the contract until *name and itemized budgets*, are provided via GrantSolutions as a Notification of Contractor amendment and GMO approval is provided via Notice of Award.

Contractor 1 University of Wisconsin Population Health Institute
Contractor 2 TBD Training and Support Partner
Contractor 3 TBD Economics Supporst Prevention Partners
Contractor 4 TBD Culture as Prevention & Protective Envirnoments Prevention Partners
Contractor 5 PATCH Program

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
Monique Tatum, Grants Management Officer/Specialist
Centers for Disease Control and Prevention
OGS BRANCH 5
4770- Buford Highway
Building 102 Mailstop S102-1
Atlanta, GA 30341
Email: mtatum@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

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))

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUF2CE002579-02-00
FAIN# NUF2CE002579
Federal Award Date: 02/18/2025

Recipient Information

1. Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kara Benjamin
Admin
kara.benjamin@dhs.wisconsin.gov
(608) 609-4176

8. Authorized Official
Ms. Debra Standridge
Deputy Secretary
Debra.Standridge@wisconsin.gov
608-266-8399

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Rachel Budhwani
Program Officer
qrv4@cdc.gov
770-488-6638

Federal Award Information

11. Award Number
5 NUF2CE002579-02-00

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002579

13. Statutory Authority
Section 393A of the Public Health Service Act [42 U.S.C. 280b-1b] and (d)(4)).

14. Federal Award Project Title
Wisconsin Sexual Violence Prevention Program (WI RPE)

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2025 **- End Date** 01/31/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$747,057.00
	20a. Direct Cost Amount	$747,057.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$747,057.00
26.	**Period of Performance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,494,114.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $747,057.00.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUF2CE002579-02-00
FAIN# NUF2CE002579
Federal Award Date: 02/18/2025

Recipient Information

Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$94,741.00
b. Fringe Benefits	$39,687.00
c. Total Personnel Costs	$134,428.00
d. Equipment	$0.00
e. Supplies	$1,008.00
f. Travel	$3,836.00
g. Construction	$0.00
h. Other	$28,375.00
i. Contractual	$579,410.00
j. TOTAL DIRECT COSTS	$747,057.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$747,057.00
m. Federal Share	$747,057.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$747,057.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUF2CE002579-02-00
FAIN# NUF2CE002579
Federal Award Date: 02/18/2025

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

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUF2CE002579-02-00
FAIN# NUF2CE002579
Federal Award Date: 02/18/2025

35. Terms And Conditions

Project Abstract Summary

1. Over the next five years (2024-2029), Wisconsin's Sexual Violence Prevention Program (SVP), funded by CDC's Rape Prevention and Education Grant, will partner with state and local organizations to address root causes of sexual violence using a public health approach. The following proposed overarching outcomes for the next program cycle focus on increasing community-level protective factors against sexual violence. 1. Cultivate a sense of belonging and connectedness across funded communities and partners in Wisconsin. 2. Advance local and organizational policy and environmental changes that promote inclusion, positive community norms, and economic stability. Wisconsin SVP Program will 1)Build infrastructure for sexual violence prevention, 2)Develop a state action plan, 3)Implement sexual violence prevention strategies, and 4)Use data to inform action.

AWARD ATTACHMENTS

STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES 5 NUF2CE002579-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	Replaces 45 CFR 75 citation
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will have substantial involvement beyond site visits and regular performance and financial monitoring during the period of performance to ensure the success of the project. CDC will use monitoring and performance data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, facilitating information sharing among recipients, and consultation on all aspects of recipient activities. CDC will provide technical assistance and feedback in the following ways:

1. Provide CDC-developed tools and resources such as Veto Violence, CDC Violence Prevention Resources for Action (previously referred to as Technical Packages), SV Indicator Tools, RPE Evaluation Plan Guidance, RPE Implementation Guidance, Community-Level Guidance, etc.

2. Provide individual technical assistance to recipients as needed.

3. Review APRs, evaluation plans and tools, and SAPs, and provide feedback.

4. Facilitate Collaborative Learning opportunities including:

- Routine conference calls, webinars, and information exchange between recipients
- Collaborative meetings with state and national partners
- Develop mechanism for documenting and sharing lessons learned.

5. Evaluation: Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC or CDC-funded TTA providers include, but are not limited to:

- Identifying local and state data available to monitor SV indicators.
- Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
- Assisting with planning and identifying measures to evaluate the selected programs and state and local efforts.
- Providing guidance on evaluating recipient's performance of program activities and compliance with award performance standards.

Budget Requirements: Please provide the following information by submitting a grant note in Grant Solutions as soon as this information is available:

- Once selected TBD "contractor" must be submitted in GrantSolutions as a grant note.
- Provide name for Vacant position in GrantSolutions as a grant note.
- Funds for conference registration fees have been moved from travel category to other category consistent with the CDC budget preparation guidelines.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Applicants must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1c]). The legislation stipulates the following:

- Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.
- An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
- Amounts provided to applicants must be used to supplement, and not supplant Preventive Health and Health Services Block grant, other Federal, State, and local public funds expended to provide the activities described above.
- Funds may not be used to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence (with the exception of hotlines).

- Funds may not be used for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Administrative Restriction: Funds may not be used be used for purchasing tables and chairs as proposed under the supplies category in the supplied budget.

Indirect Costs: Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.
Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002579-01-01
FAIN# NUF2CE002579
Federal Award Date: 02/13/2024

Recipient Information

1. Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kara Benjamin
Admin
kara.benjamin@dhs.wisconsin.gov
(608) 609-4176

8. Authorized Official
Ms. Debra Standridge
Deputy Secretary
dhsgrantreview@dhs.wisconsin.gov
608-266-8399

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Monique Tatum
itn8@cdc.gov
770-488-2617

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
6 NUF2CE002579-01-01

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002579

13. Statutory Authority
[AWARD AUTHORITY NOT DEFINED FOR CE08-801.NU50]

14. Federal Award Project Title
Wisconsin Sexual Violence Prevention Program (WI RPE)

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Budget Revision

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$747,057.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$747,057.00
26.	**Period of Perfomance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$747,057.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mrs. Keisha Thompson
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002579-01-01
FAIN# NUF2CE002579
Federal Award Date: 02/13/2024

Recipient Information

Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$88,617.00
b. Fringe Benefits	$37,122.00
c. Total Personnel Costs	$125,739.00
d. Equipment	$0.00
e. Supplies	$1,119.00
f. Travel	$4,968.00
g. Construction	$0.00
h. Other	$13,434.00
i. Contractual	$594,796.00
j. TOTAL DIRECT COSTS	$740,056.00
k. INDIRECT COSTS	$7,001.00
l. TOTAL APPROVED BUDGET	$747,057.00
m. Federal Share	$747,057.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$0.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUF2CE002579-01-01
FAIN# NUF2CE002579
Federal Award Date: 02/13/2024

Direct Assistance

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

AWARD ATTACHMENTS

STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES 6 NUF2CE002579-01-01

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS OF AWARD

Revised Budget: The purpose of this amended Notice of Award is to approve the **revised budget** submitted by your organization dated February 6, 2024. Funds have been distributed as indicated in the approved budget of this Notice of Award.

Contractor: The purpose of this amended Notice of Award is to acknowledge receipt of all required elements for the Contractor below. This approval is in response to the request submitted by your organization dated February 6, 2024

Contractor 1: UW Population Health Institute
Contractor 2: PATCH

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002579-02-01
FAIN# NUF2CE002579
Federal Award Date: 08/28/2025

Recipient Information

1. Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Korey Hokenson
Sexual Violence Prevention Program Coordinator
korey.hokenson@dhs.wisconsin.gov
608-266-7677

8. Authorized Official
Ms. Debra Standridge
Deputy Secretary
Debra.Standridge@dhs.wisconsin.gov
608-266-8399

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
6 NUF2CE002579-02-01

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002579

13. Statutory Authority
Section 393A of the Public Health Service Act [42 U.S.C. 280b-1b] and (d)(4)).

14. Federal Award Project Title
Wisconsin Sexual Violence Prevention Program (WI RPE)

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2025 **- End Date** 01/31/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$747,057.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$747,057.00
26.	**Period of Performance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,494,114.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Change in Key Personnel-Approved.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002579-02-01
FAIN# NUF2CE002579
Federal Award Date: 08/28/2025

Recipient Information

Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$94,741.00
b. Fringe Benefits	$39,687.00
c. Total Personnel Costs	$134,428.00
d. Equipment	$0.00
e. Supplies	$1,008.00
f. Travel	$3,836.00
g. Construction	$0.00
h. Other	$28,375.00
i. Contractual	$579,410.00
j. TOTAL DIRECT COSTS	$747,057.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$747,057.00
m. Federal Share	$747,057.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUF2CE002579-02-01
FAIN# NUF2CE002579
Federal Award Date: 08/28/2025

Direct Assistance

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

AWARD ATTACHMENTS

STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES 6 NUF2CE002579-02-01

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS

PURPOSE: The purpose of this amended Notice of Award is to approve Korey Hokenson as the Authorized Official, replacing Kara Benjamin as requested by your organization in the letter dated July 24, 2025.

Please be advised that grantee must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, necessary and reasonable.

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

PLEASE REFERENCE AWARD NUMBER ON ALL CORRESPONDENCE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002579-02-02
FAIN# NUF2CE002579
Federal Award Date: 11/17/2025

Recipient Information

1. Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Korey Hokenson
Sexual Violence Prevention Program Coordinator
korey.hokenson@dhs.wisconsin.gov
608-266-7677

8. Authorized Official
Ms. Debra Standridge
Deputy Secretary
Debra.Standridge@dhs.wisconsin.gov
608-266-8399

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
6 NUF2CE002579-02-02

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002579

13. Statutory Authority
Section 393A of the Public Health Service Act [42 U.S.C. 280b-1b] and (d)(4)).

14. Federal Award Project Title
Wisconsin Sexual Violence Prevention Program (WI RPE)

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2025 **- End Date** 01/31/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$747,057.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$747,057.00
26.	**Period of Performance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,494,114.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002579-02-02
FAIN# NUF2CE002579
Federal Award Date: 11/17/2025

Recipient Information

Recipient Name
STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES
1 W Wilson St
P.O. Box 7850
Madison, WI 53703-3445
608-267-3694

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$94,741.00
b. Fringe Benefits	$39,687.00
c. Total Personnel Costs	$134,428.00
d. Equipment	$0.00
e. Supplies	$1,008.00
f. Travel	$3,836.00
g. Construction	$0.00
h. Other	$28,375.00
i. Contractual	$579,410.00
j. TOTAL DIRECT COSTS	$747,057.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$747,057.00
m. Federal Share	$747,057.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSFL	24NUF2CE002579	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUF2CE002579-02-02
FAIN# NUF2CE002579
Federal Award Date: 11/17/2025

Direct Assistance

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

AWARD ATTACHMENTS

STATE OF WISCONSIN DEPARTMENT OF HEALTH SERVICES 6 NUF2CE002579-02-02

1. Revised Terms and Conditions

TERMS & CONDITIONS

The purpose of this amendment is to incorporate updated terms and conditions:

Applicable Regulatory Provisions: Prior to October 1, 2025, this award was subject to 45 CFR 75 except for eight flexibilities from 2 CFR 200 adopted by HHS on October 1, 2024. After October 1, 2025, this award is subject to any applicable provisions of 2 CFR 200 and 2 CFR 300.

Termination: Prior to October 1, 2025, this award was subject to the termination provisions at 45 CFR 75.372. Starting on October 1, 2025, this award is subject to the termination provisions at 2 CFR 200.340. Pursuant to 2 CFR 200.340, the recipient agrees by accepting this award that continued funding for the award is contingent upon the availability of appropriated funds, recipient satisfactory performance, compliance with the terms and conditions of the award, and a decision by the agency that the award continues to effectuate program goals or agency priorities.

ALL OTHER TERMS AND CONDITIONS REMAIN IN EFFECT.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUF2CE002587-01-00
FAIN# NUF2CE002587
Federal Award Date: 01/22/2024

Recipient Information

1. Recipient Name
DISTRICT OF COLUMBIA, GOVERNMENT OF
899 NORTH CAPITOL ST NE
WASHINGTON, DC 20002-4210

2. Congressional District of Recipient
98

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Lori Garibay
Lori.Garibay@dc.gov
202-442-5883

8. Authorized Official
Ms. Clara Ann McLaughlin
Clara.mclaughlin@dc.gov
202-442-5883

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Uliecia Bolton
Grants Management Specialist
uaj0@cdc.gov
678-475-4805

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
1 NUF2CE002587-01-00

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002587

13. Statutory Authority
Recipient is funded under Category" A"/ Statutory Authority: 393A(a) of the PHS Act (42 USC § 280b-1b(a)

14. Federal Award Project Title
DC Rape Prevention Education Program

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$219,854.00
	20a. Direct Cost Amount	$210,506.00
	20b. Indirect Cost Amount	$9,348.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$219,854.00
26.	**Period of Perfomance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$219,854.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Natasha Jones
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUF2CE002587-01-00
FAIN# NUF2CE002587
Federal Award Date: 01/22/2024

Recipient Information

Recipient Name
DISTRICT OF COLUMBIA, GOVERNMENT OF
899 NORTH CAPITOL ST NE
WASHINGTON, DC 20002-4210

Congressional District of Recipient
98

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$152,873.00
b. Fringe Benefits	$34,091.00
c. Total Personnel Costs	$186,964.00
d. Equipment	$0.00
e. Supplies	$4,492.00
f. Travel	$7,050.00
g. Construction	$0.00
h. Other	$1,500.00
i. Contractual	$10,500.00
j. TOTAL DIRECT COSTS	$210,506.00
k. INDIRECT COSTS	$9,348.00
l. TOTAL APPROVED BUDGET	$219,854.00
m. Federal Share	$219,854.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002587	CE	410Q	93.136	$219,854.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUF2CE002587-01-00
FAIN# NUF2CE002587
Federal Award Date: 01/22/2024

Direct Assistance

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

AWARD ATTACHMENTS

DISTRICT OF COLUMBIA, GOVERNMENT OF 1 NUF2CE002587-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0027, entitled Rape Prevention and Education, and application dated November 30, 2023, 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 $219,854 is approved for the Year 01 budget period, which is February 1, 2024 through January 31, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Technical Review: Within 5 days of this Notice of Award's (NoA) issue date, the Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NoA with any questions regarding this document or any follow up requirements.

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.

1. Provide CDC-developed tools and resources such as VetoViolence, CDC Violence Prevention Resources for Action (previously referred to as Technical Packages), SV Indicator Tools, RPE Evaluation Plan Guidance, RPE Implementation Guidance, Community-Level Guidance, etc.

2. Provide individual technical assistance to recipients as needed.
3. Review APRs, evaluation plans and tools, and SAPs, and provide feedback.
4. Facilitate Collaborative Learning opportunities including:
    - Routine conference calls, webinars, and information exchange between recipients
    - Collaborative meetings with state and national partners
    - Develop mechanism for documenting and sharing lessons learned

5. Evaluation: Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC or CDC-funded TTA providers include, but are not limited to:
    - Identifying local and state data available to monitor SV indicators.

- Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
- Assisting with planning and identifying measures to evaluate the selected programs and state and local efforts.
- Providing guidance on evaluating recipient's performance of program activities and compliance with award performance standards

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

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

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

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

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions: Act [42 U.S.C. 280b-1c]). The legislation stipulates the following:

- Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.
- An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
- Amounts provided to applicants must be used to supplement, and not supplant Preventive Health and Health Services Block grant, other Federal, State, and local public funds expended to provide the activities described above.
- Funds may not be used to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence (with the exception of hotlines).
- Funds may not be used for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are approved based on the negotiated indirect cost rate agreement dated April 25, 2023**,** which calculates indirect costs as follows, a Provisional is approved at a rate of 50.00% of the base, which includes, direct salaries and wages including

vacation, holiday, sick pay, retirement, life insurance, and health insurance but excluding all other fringe benefits. The effective dates of this indirect cost rate are from October 1, 2022 to September 30, 2024.

Missing Contractual Elements – The contract listed below is/are **not** approved and the recipient may not begin the contract until the Period of Performance, Scope of Work, Itemized Budget and Justification, Name of Contractor, Method of Selection, and Method of Accountability, are provided via GrantSolutions as a Prior Approval Amendment and GMO approval is provided via Notice of Award.

Contractor 1 Training Development and Technical Assistance

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
Uliecia Bolton, Grants Management Officer/Specialist
Centers for Disease Control and Prevention
OGS BRANCH 5
2939 Flowers Road
Atlanta, GA 30341
Email: uaj0@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

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))

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUF2CE002587-02-00
FAIN# NUF2CE002587
Federal Award Date: 02/18/2025

Recipient Information

1. Recipient Name
DISTRICT OF COLUMBIA, GOVERNMENT OF
899 N Capitol St NE
Washington, DC 20002-5686
[NO DATA]

2. Congressional District of Recipient
00

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Lori Garibay
LORI.GARIBAY@DC.GOV
2024425883

8. Authorized Official
Ms. Clara McLaughlin
Chief, Office of Grants Management
clara.mclaughlin@dc.gov
202-442-9237

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
5 NUF2CE002587-02-00

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002587

13. Statutory Authority
Section 393A of the Public Health Service Act [42 U.S.C. 280b-1b] and (d)(4)).

14. Federal Award Project Title
DC Rape Prevention Education Program

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2025 **- End Date** 01/31/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$219,854.00
	20a. Direct Cost Amount	$219,854.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$219,854.00
26.	**Period of Performance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$439,708.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $219,854.00.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUF2CE002587-02-00
FAIN# NUF2CE002587
Federal Award Date: 02/18/2025

Recipient Information

Recipient Name
DISTRICT OF COLUMBIA, GOVERNMENT OF
899 N Capitol St NE
Washington, DC 20002-5686
[NO DATA]

Congressional District of Recipient
00

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$115,402.00
b. Fringe Benefits	$25,735.00
c. Total Personnel Costs	$141,137.00
d. Equipment	$0.00
e. Supplies	$1,201.00
f. Travel	$7,800.00
g. Construction	$0.00
h. Other	$8,556.00
i. Contractual	$61,160.00
j. TOTAL DIRECT COSTS	$219,854.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$219,854.00
m. Federal Share	$219,854.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002587	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSFL	24NUF2CE002587	CE	410Q	93.136	$219,854.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUF2CE002587-02-00
FAIN# NUF2CE002587
Federal Award Date: 02/18/2025

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

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUF2CE002587-02-00
FAIN# NUF2CE002587
Federal Award Date: 02/18/2025

35. Terms And Conditions

Project Abstract Summary

1. The District of Columbia Department of Health (DC Health) is requesting funding from the Centers for Disease Control and Prevention's (CDC) National Center Injury Prevention and Control to implement and evaluate sexual violence prevention programs, practices, and policies within the District of Columbia (DC). DC Health is committed to achieving the overall goal of promoting health equity, decreasing sexual perpetration and victimization rates and reducing disparities in sexual violence by addressing inequities in social and structural determinants of health. DC Health will accomplish this goal by utilizing a systems-level approach to improve the data infrastructure and data capacity to increase the reach and capacity of the DC Rape Prevention and Education Program. Increasing the RPE Program's data capacity and infrastructure will allow DC Health to coordinate, implement and evaluate sexual violence prevention programs, practices, and policies within the District on a population health level and will deploy equitable approaches through programming and direct service supports for those communities most vulnerable to sexual violence due to social and structural factors.

AWARD ATTACHMENTS

DISTRICT OF COLUMBIA, GOVERNMENT OF 5 NUF2CE002587-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	Replaces 45 CFR 75 citation
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will have substantial involvement beyond site visits and regular performance and financial monitoring during the period of performance to ensure the success of the project. CDC will use monitoring and performance data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, facilitating information sharing among recipients, and consultation on all aspects of recipient activities. CDC will provide technical assistance and feedback in the following ways:

1. Provide CDC-developed tools and resources such as Veto Violence, CDC Violence Prevention Resources for Action (previously referred to as Technical Packages), SV Indicator Tools, RPE Evaluation Plan Guidance, RPE Implementation Guidance, Community-Level Guidance, etc.

2. Provide individual technical assistance to recipients as needed.

3. Review APRs, evaluation plans and tools, and SAPs, and provide feedback.

4. Facilitate Collaborative Learning opportunities including:

- Routine conference calls, webinars, and information exchange between recipients
- Collaborative meetings with state and national partners
- Develop mechanism for documenting and sharing lessons learned.

5. Evaluation: Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC or CDC-funded TTA providers include, but are not limited to:

- Identifying local and state data available to monitor SV indicators.
- Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
- Assisting with planning and identifying measures to evaluate the selected programs and state and local efforts.
- Providing guidance on evaluating recipient's performance of program activities and compliance with award performance standards.

Budget Requirements: Please provide the following information by submitting a grant note in Grant Solutions as soon as this information is available:

- Names for each staff member fulfilling the Rape Prevention and Education Coordinator and Evaluation coordinator role.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report

use, or intended use, of carried over unobligated funds in Section 12 “Remarks” of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient’s authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Applicants must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1c]). The legislation stipulates the following:

- Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.
- An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
- Amounts provided to applicants must be used to supplement, and not supplant Preventive Health and Health Services Block grant, other Federal, State, and local public funds expended to provide the activities described above.
- Funds may not be used to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence (with the exception of hotlines).
- Funds may not be used for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.

Missing Contractual/Consultant Elements – The contracts listed below are **not** approved and the recipient may not begin the contract until the required elements outlined in the CDC Budget Preparation Guidelines are provided via GrantSolutions as an amendment and GMO approval is provided via Notice of Award.

Training Development and Technical Assistance
Data Infrastructure

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.
Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002587-01-01
FAIN# NUF2CE002587
Federal Award Date: 02/22/2024

Recipient Information

1. **Recipient Name**
DISTRICT OF COLUMBIA, GOVERNMENT OF
899 NORTH CAPITOL ST NE
-DUP8
WASHINGTON, DC 20002-4210
[NO DATA]

2. **Congressional District of Recipient**
98

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Lori Garibay
LORI.GARIBAY@DC.GOV
2024425883

8. **Authorized Official**
Ms. Clara McLaughlin
Chief, Office of Grants Management
clara.mclaughlin@dc.gov
202-442-9237

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Uliecia Bolton
Grants Management Specialist
uaj0@cdc.gov
678-475-4805

10. **Program Official Contact Information**
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. **Award Number**
6 NUF2CE002587-01-01

12. **Unique Federal Award Identification Number (FAIN)**
NUF2CE002587

13. **Statutory Authority**
Recipient is funded under Category" A"/ Statutory Authority: 393A(a) of the PHS Act (42 USC § 280b-1b(a)

14. **Federal Award Project Title**
DC Rape Prevention Education Program

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Change PI/PD

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$219,854.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$219,854.00
26.	**Period of Perfomance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$219,854.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Natasha Jones
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUF2CE002587-01-01
FAIN# NUF2CE002587
Federal Award Date: 02/22/2024

Recipient Information

Recipient Name
DISTRICT OF COLUMBIA, GOVERNMENT OF
899 NORTH CAPITOL ST NE
-DUP8
WASHINGTON, DC 20002-4210
[NO DATA]

Congressional District of Recipient
98

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$152,873.00
b. Fringe Benefits	$34,091.00
c. Total Personnel Costs	$186,964.00
d. Equipment	$0.00
e. Supplies	$4,492.00
f. Travel	$7,050.00
g. Construction	$0.00
h. Other	$1,500.00
i. Contractual	$10,500.00
j. TOTAL DIRECT COSTS	$210,506.00
k. INDIRECT COSTS	$9,348.00
l. TOTAL APPROVED BUDGET	$219,854.00
m. Federal Share	$219,854.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002587	CE	410Q	93.136	$0.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUF2CE002587-01-01
FAIN# NUF2CE002587
Federal Award Date: 02/22/2024

Direct Assistance

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

AWARD ATTACHMENTS

DISTRICT OF COLUMBIA, GOVERNMENT OF 6 NUF2CE002587-01-01

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS OF AWARD

Key Personnel Change: The purpose of this amendment is to approve the ***Principle Investigator/Program Director,*** change to Lori Garibay . This is in response to the request submitted by your organization dated February 16, 2024.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUF2CE002602-01-00
FAIN# NUF2CE002602
Federal Award Date: 01/22/2024

Recipient Information

1. Recipient Name
The Rhode Island Department of Health
3 Capitol Hl RM 408
Providence, RI 02908-5034
401-222-7630

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Tara Cooper
Chief Center for Health
Tara.Cooper@health.ri.gov
401-222-4872

8. Authorized Official
Ms. Carla Lundquist
Deputy CFO/Federal Grants Manager
Carla.Lundquist@health.ri.gov
401-222-7626

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Uliecia Bolton
Grants Management Specialist
uaj0@cdc.gov
678-475-4805

10.Program Official Contact Information
Brooke Douglas
Lead Author
qke0@cdc.gov
404.498.1877

Federal Award Information

11. Award Number
1 NUF2CE002602-01-00

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002602

13. Statutory Authority
Recipient is funded under Category" A"/ Statutory Authority: 393A(a) of the PHS Act (42 USC § 280b-1b(a)

14. Federal Award Project Title
Rhode Island Rape Prevention and Education

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2024 **- End Date** 01/31/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$261,169.00
	20a. Direct Cost Amount	$251,590.00
	20b. Indirect Cost Amount	$9,579.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$261,169.00
26.	**Period of Perfomance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$261,169.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Natasha Jones
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUF2CE002602-01-00
FAIN# NUF2CE002602
Federal Award Date: 01/22/2024

Recipient Information

Recipient Name
The Rhode Island Department of Health
3 Capitol Hl RM 408
Providence, RI 02908-5034
401-222-7630

Congressional District of Recipient
01

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$65,100.00
b. Fringe Benefits	$35,331.00
c. Total Personnel Costs	$100,431.00
d. Equipment	$0.00
e. Supplies	$12,686.00
f. Travel	$5,873.00
g. Construction	$0.00
h. Other	$104.00
i. Contractual	$132,496.00
j. TOTAL DIRECT COSTS	$251,590.00
k. INDIRECT COSTS	$9,579.00
l. TOTAL APPROVED BUDGET	$261,169.00
m. Federal Share	$261,169.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NUF2CE002602	CE	410Q	93.136	$261,169.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUF2CE002602-01-00
FAIN# NUF2CE002602
Federal Award Date: 01/22/2024

Direct Assistance

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

AWARD ATTACHMENTS

The Rhode Island Department of Health 1 NUF2CE002602-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0027, entitled Rape Prevention and Education, and application dated November 30, 2023, 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 $261,169 is approved for the Year 01 budget period, which is February 1, 2024 through January 31, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Technical Review: Within 5 days of this Notice of Award's (NoA) issue date, the Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NoA with any questions regarding this document or any follow up requirements.

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.

1. Provide CDC-developed tools and resources such as VetoViolence, CDC Violence Prevention Resources for Action (previously referred to as Technical Packages), SV Indicator Tools, RPE Evaluation Plan Guidance, RPE Implementation Guidance, Community-Level Guidance, etc.

2. Provide individual technical assistance to recipients as needed.
3. Review APRs, evaluation plans and tools, and SAPs, and provide feedback.
4. Facilitate Collaborative Learning opportunities including:
    - Routine conference calls, webinars, and information exchange between recipients
    - Collaborative meetings with state and national partners
    - Develop mechanism for documenting and sharing lessons learned

5. Evaluation: Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC or CDC-funded TTA providers include, but are not limited to:
    - Identifying local and state data available to monitor SV indicators.

- Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
- Assisting with planning and identifying measures to evaluate the selected programs and state and local efforts.
- Providing guidance on evaluating recipient's performance of program activities and compliance with award performance standards

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

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

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

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

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions: Act [42 U.S.C. 280b-1c]). The legislation stipulates the following:

- Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year.
- An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
- Amounts provided to applicants must be used to supplement, and not supplant Preventive Health and Health Services Block grant, other Federal, State, and local public funds expended to provide the activities described above.
- Funds may not be used to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence (with the exception of hotlines).
- Funds may not be used for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are approved based on the negotiated indirect cost rate agreement dated November 2, 2021**,** which calculates indirect costs as follows, a Provisional is approved at a rate of 20.10% of the base, which includes, the direct costs excluding capital

expenditures (buildings, individual items of equipment; alterations and renovations), subawards and flow-through funds. The effective dates of this indirect cost rate are from July 1, 2022 to June 30, 2024.

Missing Contractual Elements – The contract listed below is approved, however, the recipient must provide *the Contractor Name*, in GrantSolutions as a Grant Note prior to beginning work on the contract.

Contractor 1 TBD Contractor Name

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
Uliecia Bolton, Grants Management Officer/Specialist
Centers for Disease Control and Prevention
OGS BRANCH 5
2939 Flowers Road
Atlanta, GA 30341
Email: uaj0@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

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))

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUF2CE002602-02-00
FAIN# NUF2CE002602
Federal Award Date: 02/18/2025

Recipient Information

1. Recipient Name
STATE OF RHODE ISLAND DEPARTMENT OF HEALTH
3 Capitol Hl
Environmental Health
Providence, RI 02908-5034
401-222-7630

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Tara Cooper
Chief Center for Health
Tara.Cooper@health.ri.gov
401-222-4872

8. Authorized Official
Ms. Carla Lundquist
Deputy CFO/Federal Grants Manager
Carla.Lundquist@health.ri.gov
401-222-7626

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Karen Law
Grants Management Specialist
uep2@cdc.gov
404-498-1360

10.Program Official Contact Information
Brooke Douglas
Lead Author
qke0@cdc.gov
404.498.1877

Federal Award Information

11. Award Number
5 NUF2CE002602-02-00

12. Unique Federal Award Identification Number (FAIN)
NUF2CE002602

13. Statutory Authority
Section 393A of the Public Health Service Act [42 U.S.C. 280b-1b] and (d)(4)).

14. Federal Award Project Title
Rhode Island Rape Prevention and Education

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 02/01/2025 **- End Date** 01/31/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$261,169.00
	20a. Direct Cost Amount	$261,169.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$261,169.00
26.	**Period of Performance Start Date** 02/01/2024 **- End Date** 01/31/2029	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$522,338.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mrs. Rhonda Colbert
Grants Management Officer

30. Remarks

Continuation award.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUF2CE002602-02-00
FAIN# NUF2CE002602
Federal Award Date: 02/18/2025

Recipient Information

Recipient Name
STATE OF RHODE ISLAND DEPARTMENT OF HEALTH
3 Capitol Hl
Environmental Health
Providence, RI 02908-5034
401-222-7630

Congressional District of Recipient
01

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$68,724.00
b. Fringe Benefits	$39,328.00
c. Total Personnel Costs	$108,052.00
d. Equipment	$0.00
e. Supplies	$291.00
f. Travel	$3,142.00
g. Construction	$0.00
h. Other	$79,684.00
i. Contractual	$70,000.00
j. TOTAL DIRECT COSTS	$261,169.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$261,169.00
m. Federal Share	$261,169.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NUF2CE002602	CE	410Q	93.136	$261,169.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUF2CE002602-02-00
FAIN# NUF2CE002602
Federal Award Date: 02/18/2025

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

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUF2CE002602-02-00
FAIN# NUF2CE002602
Federal Award Date: 02/18/2025

35. Terms And Conditions

Project Abstract Summary

1. The Rhode Island Department of Health (RIDOH) Rape Prevention and Education Program (RI RPE) will build upon successes achieved under DP19-1901 to further increase collective capacity to support the implementation of community- and societal-level activities to prevent sexual violence (SV) statewide. RI RPE is well-positioned for the implementation of these activities after establishing the RI Sexual Violence Prevention Coalition, publishing a new State SV Action Plan, conducting internal and community-facing health equity capacity assessments, creating the Rhode Island SV Data Indicator Library, and implementing activities at the community- and societal-levels as Category B recipients under DP19-1901. Proposed activities will be focused on: (1) bolstering the statewide infrastructure and capacity for SV prevention; (2) enhancing and implementing the RI State Action Plan for SV Prevention in partnership with the RI Sexual Violence Prevention Coalition; (3) implementing SV prevention programs and policies focused on strengthening economic supports, creating protective environments, and promoting social norms that protect against violence; and (4) using data to inform action. These activities will include (1) community education on the public health impact of economic policies that support women and families and the benefits of and processes to achieve collective bargaining; (2) education and advocacy to support trans inclusive and protective policies in workplace, educational, and other settings; (3) expansion of existing SV prevention programming for adult and young men rooted in social norms theory; (4) maintenance of the RI Sexual Violence Prevention Coalition and Rhode Island Cross-Campus Learning Collaborative; and (5) maintenance and regular updating of the RI Sexual Violence Surveillance System and Data Indicator Index to support ongoing monitoring of sexual violence and health equity-related data for evaluation of activities and the development and dissemination of educational materials. These proposed activities will target the general RI population and groups at higher risk of SV perpetration and victimization including transgender youth and adults, adolescent boys and young men, women and children living in poverty, and college-age young adults as priority populations for the proposed activities. Long-term outcomes include (1) an increase in economic policies that support women and families; (2) increased number of workforces that achieve unionization or collective bargaining rights; (3) increased number of trans-protective/inclusive policies introduced and passed at the state, local, and institutional level; (4) increased engagement in SV prevention programming among young men; (5) decrease in rates of sexual violence, particularly in communities disproportionately burdened with high rates of sexual violence; (6) decrease in rates of sexual violence perpetration and victimization at the state level; and (7) reductions in inequities in social determinants of health that impact disparities in sexual violence.

AWARD ATTACHMENTS

STATE OF RHODE ISLAND DEPARTMENT OF HEALTH 5 NUF2CE002602-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will have substantial involvement beyond site visits and regular performance and financial monitoring during the period of performance to ensure the success of the project. CDC will use monitoring and performance data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, facilitating information sharing among recipients, and consultation on all aspects of recipient activities. CDC will provide technical assistance and feedback in the following ways:

1. Provide CDC-developed tools and resources such as Veto Violence, CDC Violence Prevention Resources for Action (previously referred to as Technical Packages), SV Indicator Tools, RPE Evaluation Plan Guidance, RPE Implementation Guidance, Community-Level Guidance, etc.

2. Provide individual technical assistance to recipients as needed.

3. Review APRs, evaluation plans and tools, and SAPs, and provide feedback.

4. Facilitate Collaborative Learning opportunities including:

- Routine conference calls, webinars, and information exchange between recipients
- Collaborative meetings with state and national partners
- Develop mechanism for documenting and sharing lessons learned.

5. Evaluation: Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC or CDC-funded TTA providers include, but are not limited to:

- Identifying local and state data available to monitor SV indicators.
- Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
- Assisting with planning and identifying measures to evaluate the selected programs and state and local efforts.
- Providing guidance on evaluating recipient's performance of program activities and compliance with award performance standards.

Budget Requirements: Please provide the following information by submitting a grant note in Grant Solutions as soon as this information is available:
• Once selected, the TBD Contractors must be submitted in Grantsolutions as a grant note. The CDC must approve before costs for this budget category can be expended.
• Once selected, the TBD Personnel must be submitted in Grantsolutions as a grant note. The CDC must approve before costs for this budget category can be expended.
• Indirect costs have been moved to the Other category since Administrative cost were approved in lieu of IDC.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Indirect Costs: Applicants may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. Recipient can still submit and use an IDC rate as long as after calculations the total IDC is no more than 5% of total received in the fiscal year. Indirect costs have been moved to the Other category.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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",** **https://www.cdc.gov/grants/documents/Performance-Progress-and-Monitoring-Report-PPMR.pdf**. The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002315-01-00
FAIN# NUS4CE002315
Federal Award Date: 02/24/2023

Recipient Information

1. Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Rebecca Swofford
Prevention Coordinator
rswofford@nccadv.org
919- 956- 9124 x 225

8. Authorized Official
Ms. Carianne Fisher
cfisher@nccadv.org
919. 956. 9124 x 202

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
1 NUS4CE002315-01-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002315

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
NCCADV DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$500,000.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$1,000,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,000,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002315-01-00
FAIN# NUS4CE002315
Federal Award Date: 02/24/2023

Recipient Information

Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$257,095.20
b. Fringe Benefits	$57,596.88
c. Total Personnel Costs	$314,692.08
d. Equipment	$0.00
e. Supplies	$1,999.80
f. Travel	$16,207.27
g. Construction	$0.00
h. Other	$56,475.96
i. Contractual	$110,624.89
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$500,000.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$500,000.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUS4CE002315-01-00
FAIN# NUS4CE002315
Federal Award Date: 02/24/2023

Direct Assistance

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

AWARD ATTACHMENTS

THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED	1 NUS4CE002315-01-00

1. 1 NUS4CE002315-01 NC Terms and Conditions 2023

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number DP23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 23, 2022, 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 $500,000 is approved for the Year 01 budget period, which is March 2, 2023 through March 1, 2024. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's

DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

FUNDING RESTRICTIONS AND LIMITATIONS

Indirect costs are not applicable to this award.

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
LaKasa Wyatt, MPA Grants Management Specialist
Centers for Disease Control and Prevention
Branch 5 Supporting Chronic Diseases and Injury Prevention
Office of Grants Services (OGS)
Office of Financial Resources (OFR)
Office of the Chief Operating Officer (OCOO)
Centers for Disease Control and Prevention (CDC)
Lgw5@cdc.gov | 770-488-2728 office
Fax: 404-248-4180 (Include "Mandatory Grant Disclosures" in subject line)
Email: lgw5@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002315-02-00
FAIN# NUS4CE002315
Federal Award Date: 02/08/2024

Recipient Information

1. Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Rebecca Swofford
Prevention Coordinator
rswofford@nccadv.org
919- 956- 9124 x 225

8. Authorized Official
Ms. Carianne Fisher
cfisher@nccadv.org
919. 956. 9124 x 202

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
5 NUS4CE002315-02-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002315

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
NCCADV DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2024 **- End Date** 03/01/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. LaKasa Wyatt
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002315-02-00
FAIN# NUS4CE002315
Federal Award Date: 02/08/2024

Recipient Information

Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$250,442.76
b. Fringe Benefits	$58,118.81
c. Total Personnel Costs	$308,561.57
d. Equipment	$0.00
e. Supplies	$1,850.65
f. Travel	$16,207.27
g. Construction	$0.00
h. Other	$49,899.12
i. Contractual	$123,481.39
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$500,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002315-02-00
FAIN# NUS4CE002315
Federal Award Date: 02/08/2024

Direct Assistance

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

AWARD ATTACHMENTS

THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED

5 NUS4CE002315-02-00

1. Terms and Conditions YR2 Continuation

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CE23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 6, 2023, 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 $500,000 is approved for the Year 02 budget period, which is March 2, 2024 through March 1, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by

CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Indirect costs are not approved for this award, because indirect costs were not requested.

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
Joëlle Cadet, Grants Management Specialist
Contractor: Chenega Enterprise Systems and Solutions (ChESS)
Centers for Disease Control and Prevention
Branch 1
2939 Flowers Road, MS-TV-2
Atlanta, GA 30341
Email: qrx2@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002315-03-00
FAIN# NUS4CE002315
Federal Award Date: 03/07/2025

Recipient Information

1. Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Rebecca Swofford
Prevention Coordinator
rswofford@nccadv.org
919- 956- 9124 x 225

8. Authorized Official
Ms. Carianne Fisher
cfisher@nccadv.org
919. 956. 9124 x 202

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Melanie Maino Vieytes
Program Officer
jrr4@cdc.gov
301-503-6558

Federal Award Information

11. Award Number
5 NUS4CE002315-03-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002315

13. Statutory Authority
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. Federal Award Project Title
NCCADV DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$2,000,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial assistance in the amount of $500,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002315-03-00
FAIN# NUS4CE002315
Federal Award Date: 03/07/2025

Recipient Information

Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$245,066.00
b. Fringe Benefits	$55,635.00
c. Total Personnel Costs	$300,701.00
d. Equipment	$0.00
e. Supplies	$8,056.00
f. Travel	$13,911.00
g. Construction	$0.00
h. Other	$57,197.00
i. Contractual	$120,135.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$500,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002315-03-00
FAIN# NUS4CE002315
Federal Award Date: 03/07/2025

Direct Assistance

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

AWARD ATTACHMENTS

THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED

5 NUS4CE002315-03-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Budget Requirements: Please provide the following information by submitting a grant note in Grant Solutions as soon as this information is available:

- Provide an itemized budget for each contractor as a grant note. Refer to the CDC Budget Preparations Guidelines for further guidance.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than May 31, 2025.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002315-01-01
FAIN# NUS4CE002315
Federal Award Date: 02/21/2024

Recipient Information

1. Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Rebecca Swofford
Prevention Coordinator
rswofford@nccadv.org
919- 956- 9124 x 225

8. Authorized Official
Ms. Carianne Fisher
cfisher@nccadv.org
919. 956. 9124 x 202

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
6 NUS4CE002315-01-01

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002315

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
NCCADV DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$500,000.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$1,000,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002315-01-01
FAIN# NUS4CE002315
Federal Award Date: 02/21/2024

Recipient Information

Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$257,095.20
b. Fringe Benefits	$57,596.88
c. Total Personnel Costs	$314,692.08
d. Equipment	$0.00
e. Supplies	$1,999.80
f. Travel	$16,207.27
g. Construction	$0.00
h. Other	$56,475.96
i. Contractual	$110,624.89
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$500,000.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$0.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002315-01-01
FAIN# NUS4CE002315
Federal Award Date: 02/21/2024

Direct Assistance

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

AWARD ATTACHMENTS

THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED

6 NUS4CE002315-01-01

1. Terms and Conditions Corrected Action

ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD

ADMINISTRAIVE CORRECTION: The purpose of this amended Notice of Award is to include in the budget revision requirements that were inadvertently not included in Year 02 Continuation Award dated February 8, 2024.

Personnel: The total amount of $250,442.76 for this category is correct, however, there is an incorrect amount of $21,945.00 listed for the Director of Youth Exposure to DV & Special Projects. The Amount listed should be $7,755.90 based on the calculation of Annual salary ($77559.00x10% time) and based on the requested Total $250,442.76. NCCADV should revise the Amount column under "A. Salaries" in the budget narrative accordingly and should submit a revised budget narrative with the requested revisions listed above with the response to Technical Review.

Please be advised that the recipient must exercise proper stewardship over Federal funds by ensuring that all cost charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

All other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002315-03-01
FAIN# NUS4CE002315
Federal Award Date: 03/21/2025

Recipient Information

1. **Recipient Name**
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

2. **Congressional District of Recipient**
04

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Ms. Rebecca Swofford
Prevention Coordinator
rswofford@nccadv.org
919- 956- 9124 x 225

8. **Authorized Official**
Ms. Carianne Fisher
cfisher@nccadv.org
919. 956. 9124 x 202

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. **Award Number**
6 NUS4CE002315-03-01

12. **Unique Federal Award Identification Number (FAIN)**
NUS4CE002315

13. **Statutory Authority**
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. **Federal Award Project Title**
NCCADV DELTA AHEAD

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Administrative Action

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$2,000,000.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Administrative Action-Correcting Terms and Conditions

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002315-03-01
FAIN# NUS4CE002315
Federal Award Date: 03/21/2025

Recipient Information

Recipient Name
THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED
3710 University Dr STE 300
Durham, NC 27707-6204
[NO DATA]

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$245,066.00
b. Fringe Benefits	$55,635.00
c. Total Personnel Costs	$300,701.00
d. Equipment	$0.00
e. Supplies	$8,056.00
f. Travel	$13,911.00
g. Construction	$0.00
h. Other	$57,197.00
i. Contractual	$120,135.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002315	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002315-03-01
FAIN# NUS4CE002315
Federal Award Date: 03/21/2025

Direct Assistance

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

AWARD ATTACHMENTS

THE NORTH CAROLINA COALITION AGAINST DOMESTIC VIOLENCE INCORPORATED

6 NUS4CE002315-03-01

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE23-2301**, entitled **Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD)**, and application dated November 6, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Budget Requirements: Please provide the following information by submitting a grant note in Grant Solutions as soon as this information is available:

- Once selected TBD "contractor" name must be submitted in GrantSolutions as a grant note.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Administrative Restrictions: The following expenses are not allowable under this award and are therefore not approved on the submitted budget:

1) Meeting Food. Food is not an allowable expense under this grant award for the reasons provided in the budget justification.
2) Office furniture of any kind (desks, chairs, etc.). Office furniture of any kind regardless of price, are not authorized under this grant award.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than May 31, 2025.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002317-01-00
FAIN# NUS4CE002317
Federal Award Date: 02/24/2023

Recipient Information

1. Recipient Name
RI COALITION AGAINST DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Krista D'Amico
Director of Prevention
krista@ricadv.org
401-467-9940

8. Authorized Official
Ms. Lucy Rios
lucy@rlcadv.org
401-467-9940

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
1 NUS4CE002317-01-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002317

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
Rhode Island DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002317-01-00
FAIN# NUS4CE002317
Federal Award Date: 02/24/2023

Recipient Information

Recipient Name
RI COALITION AGAINST DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$254,966.00
b. Fringe Benefits	$58,642.00
c. Total Personnel Costs	$313,608.00
d. Equipment	$0.00
e. Supplies	$5,692.00
f. Travel	$4,700.00
g. Construction	$0.00
h. Other	$36,500.00
i. Contractual	$139,500.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$500,000.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUS4CE002317-01-00
FAIN# NUS4CE002317
Federal Award Date: 02/24/2023

Direct Assistance

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

AWARD ATTACHMENTS

RI COALITION AGAINST DOMESTIC VIOLENCE 1 NUS4CE002317-01-00

1. 1 NUS4CE002317-01 RI Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number DP23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 28, 2022, 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 $500,000 is approved for the Year 01 budget period, which is March 2, 2023 through March 1, 2024. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's

DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

FUNDING RESTRICTIONS AND LIMITATIONS

Indirect costs are not applicable to this award.

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
LaKasa Wyatt, MPA Grants Management Specialist
Centers for Disease Control and Prevention
Branch 5 Supporting Chronic Diseases and Injury Prevention
Office of Grants Services (OGS)
Office of Financial Resources (OFR)
Office of the Chief Operating Officer (OCOO)
Centers for Disease Control and Prevention (CDC)
Lgw5@cdc.gov | 770-488-2728 office
Fax: 404-248-4180 (Include "Mandatory Grant Disclosures" in subject line)
Email: lgw5@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002317-02-00
FAIN# NUS4CE002317
Federal Award Date: 02/08/2024

Recipient Information

1. Recipient Name
RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Krista1 Cunningham
Director of Prevention
krista@ricadv.org
401-467-9940

8. Authorized Official
Ms. Lucy Rios
Executive Director
lucy@ricadv.org
401-467-9940

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
5 NUS4CE002317-02-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002317

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
Rhode Island DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2024 **- End Date** 03/01/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,000,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002317-02-00
FAIN# NUS4CE002317
Federal Award Date: 02/08/2024

Recipient Information

Recipient Name
RHODE ISLAND COALITION AGAINST
DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$239,768.00
b. Fringe Benefits	$55,146.00
c. Total Personnel Costs	$294,914.00
d. Equipment	$0.00
e. Supplies	$1,576.00
f. Travel	$13,172.00
g. Construction	$0.00
h. Other	$49,338.00
i. Contractual	$141,000.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$500,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002317-02-00
FAIN# NUS4CE002317
Federal Award Date: 02/08/2024

Direct Assistance

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

AWARD ATTACHMENTS

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE 5 NUS4CE002317-02-00

1. Terms and Conditions YR2 Continuation

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CE23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 6, 2023, 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 $500,000 is approved for the Year 02 budget period, which is March 2, 2024 through March 1, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by

CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Indirect costs are not approved for this award, because indirect costs were not requested.

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
Joëlle Cadet, Grants Management Specialist
Contractor: Chenega Enterprise Systems and Solutions (ChESS)
Centers for Disease Control and Prevention
Branch 1
2939 Flowers Road, MS-TV-2
Atlanta, GA 30341
Email: qrx2@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002317-03-00
FAIN# NUS4CE002317
Federal Award Date: 03/07/2025

Recipient Information

1. Recipient Name
RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Somali Prak-Martins
somaly@2thrive.org
401-467-9940 xt 114

8. Authorized Official
Ms. Lucy Rios
Executive Director
lucy@ricadv.org
401-467-9940

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Melanie Maino Vieytes
Program Officer
jrr4@cdc.gov
301-503-6558

Federal Award Information

11. Award Number
5 NUS4CE002317-03-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002317

13. Statutory Authority
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. Federal Award Project Title
Rhode Island DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Funding assistance in the amount of $500,000.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002317-03-00
FAIN# NUS4CE002317
Federal Award Date: 03/07/2025

Recipient Information

Recipient Name
RHODE ISLAND COALITION AGAINST
DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$225,360.00
b. Fringe Benefits	$45,072.00
c. Total Personnel Costs	$270,432.00
d. Equipment	$0.00
e. Supplies	$8,427.00
f. Travel	$7,284.00
g. Construction	$0.00
h. Other	$65,720.00
i. Contractual	$148,137.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$500,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002317-03-00
FAIN# NUS4CE002317
Federal Award Date: 03/07/2025

Direct Assistance

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

AWARD ATTACHMENTS

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE 5 NUS4CE002317-03-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Budget Restrictions: Funds may not be used to purchase food.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than May 30, 2025.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

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Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002317-01-01
FAIN# NUS4CE002317
Federal Award Date: 02/20/2024

Recipient Information

1. Recipient Name
RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Somali Prak-Martins
somaly@2thrive.org
401-467-9940 xt 114

8. Authorized Official
Ms. Lucy Rios
Executive Director
lucy@ricadv.org
401-467-9940

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
6 NUS4CE002317-01-01

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002317

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
Rhode Island DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Change in Key Personnel

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,000,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002317-01-01
FAIN# NUS4CE002317
Federal Award Date: 02/20/2024

Recipient Information

Recipient Name
RHODE ISLAND COALITION AGAINST
DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$254,966.00
b. Fringe Benefits	$58,642.00
c. Total Personnel Costs	$313,608.00
d. Equipment	$0.00
e. Supplies	$5,692.00
f. Travel	$4,700.00
g. Construction	$0.00
h. Other	$36,500.00
i. Contractual	$139,500.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$0.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002317-01-01
FAIN# NUS4CE002317
Federal Award Date: 02/20/2024

Direct Assistance

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

AWARD ATTACHMENTS

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE 6 NUS4CE002317-01-01

1. Terms and Conditions Change of Key Personnel

TERMS AND CONDITIONS OF AWARD

Key Personnel: The purpose of this amendment is to approve the change of the Project Director Somaly Prak-Martins. This is in response to the request submitted by your organization dated February 8, 2024.

Stewardship: The recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to your cooperative agreement are allowable, allocable, and reasonable and that they address the highest priority needs as they relate to this program.

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002317-03-01
FAIN# NUS4CE002317
Federal Award Date: 03/21/2025

Recipient Information

1. Recipient Name
RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Somali Prak-Martins
somaly@2thrive.org
401-467-9940 xt 114

8. Authorized Official
Ms. Lucy Rios
Executive Director
lucy@ricadv.org
401-467-9940

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
6 NUS4CE002317-03-01

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002317

13. Statutory Authority
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. Federal Award Project Title
Rhode Island DELTA AHEAD

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Administrative Action-Correcting Terms and Conditions

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002317-03-01
FAIN# NUS4CE002317
Federal Award Date: 03/21/2025

Recipient Information

Recipient Name
RHODE ISLAND COALITION AGAINST
DOMESTIC VIOLENCE
641 Bald Hill Rd STE 1
Warwick, RI 02886-1297
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$225,360.00
b. Fringe Benefits	$45,072.00
c. Total Personnel Costs	$270,432.00
d. Equipment	$0.00
e. Supplies	$8,427.00
f. Travel	$7,284.00
g. Construction	$0.00
h. Other	$65,720.00
i. Contractual	$148,137.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002317	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002317-03-01
FAIN# NUS4CE002317
Federal Award Date: 03/21/2025

Direct Assistance

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

AWARD ATTACHMENTS

RHODE ISLAND COALITION AGAINST DOMESTIC VIOLENCE 6 NUS4CE002317-03-01

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE23-2301**, entitled **Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD)**, and application dated November 6, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

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Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

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- Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
  - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body
  - the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body
- See Additional Requirement (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC recipients.
- The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than May 30, 2025.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

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The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002319-01-00
FAIN# NUS4CE002319
Federal Award Date: 02/24/2023

Recipient Information

1. Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. Authorized Official
Ms. Aleese Moore-Orbih
AOR
aleese@cpedv.org
(919) 444-7163 x130

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
1 NUS4CE002319-01-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002319

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$494,097.00
	20a. Direct Cost Amount	$455,088.00
	20b. Indirect Cost Amount	$39,009.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$494,097.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$494,097.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002319-01-00
FAIN# NUS4CE002319
Federal Award Date: 02/24/2023

Recipient Information

Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$160,806.00
b. Fringe Benefits	$35,072.00
c. Total Personnel Costs	$195,878.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$4,978.00
g. Construction	$0.00
h. Other	$76,466.00
i. Contractual	$174,550.00
j. TOTAL DIRECT COSTS	$455,088.00
k. INDIRECT COSTS	$39,009.00
l. TOTAL APPROVED BUDGET	$494,097.00
m. Federal Share	$494,097.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$494,097.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUS4CE002319-01-00
FAIN# NUS4CE002319
Federal Award Date: 02/24/2023

Direct Assistance

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

AWARD ATTACHMENTS

CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE 1 NUS4CE002319-01-00

1. 1 NUS4CE002319 Terms and Conditions 2023

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number DP23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 29, 2022, 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 $494,097 is approved for the Year 01 budget period, which is March 2, 2023 through March 1, 2024. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by

CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

FUNDING RESTRICTIONS AND LIMITATIONS

The recipient's indirect costs are approved and based on a de minimis rate of ten (10) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective 03/02/2023.

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
LaKasa Wyatt, MPA Grants Management Specialist
Centers for Disease Control and Prevention
Branch 5 Supporting Chronic Diseases and Injury Prevention
Office of Grants Services (OGS)
Office of Financial Resources (OFR)
Office of the Chief Operating Officer (OCOO)
Centers for Disease Control and Prevention (CDC)
Lgw5@cdc.gov | 770-488-2728 office
Fax: 404-248-4180 (Include "Mandatory Grant Disclosures" in subject line)
Email: lgw5@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002319-02-00
FAIN# NUS4CE002319
Federal Award Date: 02/08/2024

Recipient Information

1. Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. Authorized Official
Ms. Aleese Moore-Orbih
AOR
aleese@cpedv.org
(919) 444-7163 x130

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
5 NUS4CE002319-02-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002319

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2024 **- End Date** 03/01/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$488,931.00
	20a. Direct Cost Amount	$457,768.00
	20b. Indirect Cost Amount	$31,163.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$488,931.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$983,028.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002319-02-00
FAIN# NUS4CE002319
Federal Award Date: 02/08/2024

Recipient Information

Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$148,191.00
b. Fringe Benefits	$32,321.00
c. Total Personnel Costs	$180,512.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$4,978.00
g. Construction	$0.00
h. Other	$49,612.00
i. Contractual	$219,450.00
j. TOTAL DIRECT COSTS	$457,768.00
k. INDIRECT COSTS	$31,163.00
l. TOTAL APPROVED BUDGET	$488,931.00
m. Federal Share	$488,931.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$488,931.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002319-02-00
FAIN# NUS4CE002319
Federal Award Date: 02/08/2024

Direct Assistance

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

AWARD ATTACHMENTS

CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE 5 NUS4CE002319-02-00

1. Terms and Conditions YR2 Continuation

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CE23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 6, 2023, 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 $488,931 is approved for the Year 02 budget period, which is March 2, 2024 through March 1, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by

CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

The recipient's indirect costs are approved and based on a de minimis rate of ten (10) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective 03/02/2023.

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
Joëlle Cadet, Grants Management Specialist
Contractor: Chenega Enterprise Systems and Solutions (ChESS)
Centers for Disease Control and Prevention
Branch 1
2939 Flowers Road, MS-TV-2
Atlanta, GA 30341
Email: qrx2@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002319-03-00
FAIN# NUS4CE002319
Federal Award Date: 03/07/2025

Recipient Information

1. **Recipient Name**
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

2. **Congressional District of Recipient**
06

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. **Authorized Official**
Mr. Paul Castro
paul@appliedstrategyassociates.com
(562) 331-1225

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Ms. Jessica (Jessie) Crowell
wzu6@cdc.gov
404.718.5132

Federal Award Information

11. **Award Number**
5 NUS4CE002319-03-00

12. **Unique Federal Award Identification Number (FAIN)**
NUS4CE002319

13. **Statutory Authority**
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. **Federal Award Project Title**
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Non-Competing Continuation

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$499,964.00
	20a. Direct Cost Amount	$466,343.00
	20b. Indirect Cost Amount	$33,621.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$499,964.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,482,992.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $499,964.00.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002319-03-00
FAIN# NUS4CE002319
Federal Award Date: 03/07/2025

Recipient Information

Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$172,738.00
b. Fringe Benefits	$33,028.00
c. Total Personnel Costs	$205,766.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$15,973.00
g. Construction	$0.00
h. Other	$34,898.00
i. Contractual	$206,490.00
j. TOTAL DIRECT COSTS	$466,343.00
k. INDIRECT COSTS	$33,621.00
l. TOTAL APPROVED BUDGET	$499,964.00
m. Federal Share	$499,964.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$499,964.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002319-03-00
FAIN# NUS4CE002319
Federal Award Date: 03/07/2025

Direct Assistance

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

AWARD ATTACHMENTS

CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE 5 NUS4CE002319-03-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: The recipient's indirect costs are approved and based on a de minimis rate of ten (10) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective March 1, 2025.

Missing Contractual/Consultant Elements – The contracts/consultant listed below are **not** approved and the recipient may not begin the work until the missing elements are provided via GrantSolutions as an amendment and GMO approval is provided via Notice of Award.

Lumina Alliance
CA Work and Family Coalition
Strategic Prevention Solutions Evaluation Consultant
Daily Balance
Richardson and Associates

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-01-01
FAIN# NUS4CE002319
Federal Award Date: 02/28/2024

Recipient Information

1. Recipient Name
California Partnership To End Domestic Violence, The
1107 9th St STE 910
Sacramento, CA 95814-3616
[NO DATA]

2. Congressional District of Recipient
00

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. Authorized Official
Mr. Paul Castro
paul@appliedstrategyassociates.com
(562) 331-1225

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
6 NUS4CE002319-01-01

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002319

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$494,097.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$494,097.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$983,028.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-01-01
FAIN# NUS4CE002319
Federal Award Date: 02/28/2024

Recipient Information

Recipient Name
California Partnership To End Domestic Violence, The
1107 9th St STE 910
Sacramento, CA 95814-3616
[NO DATA]

Congressional District of Recipient
00

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$160,806.00
b. Fringe Benefits	$35,072.00
c. Total Personnel Costs	$195,878.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$4,978.00
g. Construction	$0.00
h. Other	$76,466.00
i. Contractual	$174,550.00
j. TOTAL DIRECT COSTS	$455,088.00
k. INDIRECT COSTS	$39,009.00
l. TOTAL APPROVED BUDGET	$494,097.00
m. Federal Share	$494,097.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002319-01-01
FAIN# NUS4CE002319
Federal Award Date: 02/28/2024

Direct Assistance

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

AWARD ATTACHMENTS

California Partnership To End Domestic Violence, The 6 NUS4CE002319-01-01

1. Terms and Conditions Change in Key Personnel

TERMS AND CONDITIONS OF AWARD

Key Personnel: The purpose of this amendment is to approve the change of the Authorized Official from Aleese Moore-Orbih to Paul Castro. This is in response to the request submitted by your organization dated January 30, 2024.

Stewardship: The recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to your cooperative agreement are allowable, allocable, and reasonable and that they address the highest priority needs as they relate to this program.

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-03-01
FAIN# NUS4CE002319
Federal Award Date: 03/21/2025

Recipient Information

1. **Recipient Name**
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

2. **Congressional District of Recipient**
06

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. **Authorized Official**
Mr. Paul Castro
paul@appliedstrategyassociates.com
(562) 331-1225

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. **Award Number**
6 NUS4CE002319-03-01

12. **Unique Federal Award Identification Number (FAIN)**
NUS4CE002319

13. **Statutory Authority**
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. **Federal Award Project Title**
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Administrative Action

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$499,964.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$499,964.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,482,992.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Administrative Action-Correcting Terms and Conditions

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-03-01
FAIN# NUS4CE002319
Federal Award Date: 03/21/2025

Recipient Information

Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$172,738.00
b. Fringe Benefits	$33,028.00
c. Total Personnel Costs	$205,766.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$15,973.00
g. Construction	$0.00
h. Other	$34,898.00
i. Contractual	$206,490.00
j. TOTAL DIRECT COSTS	$466,343.00
k. INDIRECT COSTS	$33,621.00
l. TOTAL APPROVED BUDGET	$499,964.00
m. Federal Share	$499,964.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002319-03-01
FAIN# NUS4CE002319
Federal Award Date: 03/21/2025

Direct Assistance

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

AWARD ATTACHMENTS

CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE 6 NUS4CE002319-03-01

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE23-2301**, entitled **Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD)**, and application dated November 6, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: The recipient's indirect costs are approved and based on a de minimis rate of ten (10) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective March 1, 2025.

Missing Contractual/Consultant Elements – The contracts/consultant listed below are **not** approved and the recipient may not begin the work until the missing elements are provided via GrantSolutions as an amendment and GMO approval is provided via Notice of Award.

Lumina Alliance
CA Work and Family Coalition
Strategic Prevention Solutions Evaluation Consultant
Daily Balance
Richardson and Associates

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-03-02
FAIN# NUS4CE002319
Federal Award Date: 04/10/2025

Recipient Information

1. **Recipient Name**
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

2. **Congressional District of Recipient**
06

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. **Authorized Official**
Ms. Krista Colon
Executive Director
krista@cpedv.org
916-444-7163 ext.101

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Ms. Anika Norwood
Project Officer
owm8@cdc.gov
404.558.9042

Federal Award Information

11. **Award Number**
6 NUS4CE002319-03-02

12. **Unique Federal Award Identification Number (FAIN)**
NUS4CE002319

13. **Statutory Authority**
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. **Federal Award Project Title**
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Change in Key Personnel

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$499,964.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$499,964.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,482,992.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Change in Key Personnel-Approved

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-03-02
FAIN# NUS4CE002319
Federal Award Date: 04/10/2025

Recipient Information

Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$172,738.00
b. Fringe Benefits	$33,028.00
c. Total Personnel Costs	$205,766.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$15,973.00
g. Construction	$0.00
h. Other	$34,898.00
i. Contractual	$206,490.00
j. TOTAL DIRECT COSTS	$466,343.00
k. INDIRECT COSTS	$33,621.00
l. TOTAL APPROVED BUDGET	$499,964.00
m. Federal Share	$499,964.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002319-03-02
FAIN# NUS4CE002319
Federal Award Date: 04/10/2025

Direct Assistance

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

AWARD ATTACHMENTS

CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE 6 NUS4CE002319-03-02

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS

PURPOSE: The purpose of this amended Notice of Award is to approve Ms. Krista Colón as the Authorized Representative, replacing Mr. Paul Castro as requested by your organization in the letter dated March 31, 2025.

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

Please be advised that recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, reasonable, and allocable.

PLEASE REFERENCE AWARD NUMBER ON ALL CORRESPONDENCE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-03-03
FAIN# NUS4CE002319
Federal Award Date: 05/08/2025

Recipient Information

1. Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

2. Congressional District of Recipient
06

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Jennifer Khalifa Ponce
Senior Director of Prevention Strategies
jennifer@cpedv.org
916-444-7163 x141

8. Authorized Official
Ms. Krista Colon
Executive Director
krista@cpedv.org
916-444-7163 ext.101

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Ms. Anika Norwood
Project Officer
owm8@cdc.gov
404.558.9042

Federal Award Information

11. Award Number
6 NUS4CE002319-03-03

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002319

13. Statutory Authority
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. Federal Award Project Title
California Partnership to End Domestic Violence: CDC DELTA AHEAD Application - Category A

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Notification of a Contractor or Consultant

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$499,964.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$499,964.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,482,992.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Contractor Notification-Approved

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002319-03-03
FAIN# NUS4CE002319
Federal Award Date: 05/08/2025

Recipient Information

Recipient Name
CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE
1107 9th St Ste 910
CALIFORNIA PARTNERSHIP TO END
Sacramento, CA 95814-3608
[NO DATA]

Congressional District of Recipient
06

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$172,738.00
b. Fringe Benefits	$33,028.00
c. Total Personnel Costs	$205,766.00
d. Equipment	$0.00
e. Supplies	$3,216.00
f. Travel	$15,973.00
g. Construction	$0.00
h. Other	$34,898.00
i. Contractual	$206,490.00
j. TOTAL DIRECT COSTS	$466,343.00
k. INDIRECT COSTS	$33,621.00
l. TOTAL APPROVED BUDGET	$499,964.00
m. Federal Share	$499,964.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002319	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002319-03-03
FAIN# NUS4CE002319
Federal Award Date: 05/08/2025

Direct Assistance

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

AWARD ATTACHMENTS

CALIFORNIA PARTNERSHIP TO END DOMESTIC VIOLENCE 6 NUS4CE002319-03-03

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS

Contract/Consultant: The purpose of this amended Notice of Award is to approve the contracts and consultants listed below. This approval is in response to the requests submitted by your organization dated April 2, 2025.

Lumina Alliance

Patricia Reyes and Danielle Garcia--Strategic Prevention Solutions

Sydney Highley, CPA--Daily Balance

Ingrid Sheipline, CPA--Richardson & Company, LLP

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

Please be advised that recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, reasonable, and allocable.

PLEASE REFERENCE AWARD NUMBER ON ALL CORRESPONDENCE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002320-01-00
FAIN# NUS4CE002320
Federal Award Date: 04/10/2023

Recipient Information

1. Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC VIOLENCE
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. Congressional District of Recipient
10

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Kristen Herman
kherman@pcadv.org
717-545-6400 x205

8. Authorized Official
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
1 NUS4CE002320-01-00

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002320

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 05/01/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$450,000.00
	20b. Indirect Cost Amount	$50,000.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 05/01/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NUS4CE002320-01-00
FAIN# NUS4CE002320
Federal Award Date: 04/10/2023

Recipient Information

Recipient Name
PENNSYLVANIA COALITION AGAINST
DOMESTIC VIOLENCE
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$129,510.00
b. Fringe Benefits	$35,611.00
c. Total Personnel Costs	$165,121.00
d. Equipment	$0.00
e. Supplies	$7,437.00
f. Travel	$14,292.00
g. Construction	$0.00
h. Other	$240,000.00
i. Contractual	$23,150.00
j. TOTAL DIRECT COSTS	$450,000.00
k. INDIRECT COSTS	$50,000.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$500,000.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NUS4CE002320-01-00
FAIN# NUS4CE002320
Federal Award Date: 04/10/2023

Direct Assistance

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

AWARD ATTACHMENTS

PENNSYLVANIA COALITION AGAINST DOMESTIC VIOLENCE 1 NUS4CE002320-01-00

1. 2023 Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CE23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 29, 2022, 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 $500,000 is approved for the Year 01 budget period, which is May 1, 2023 through March 1, 2024. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's

DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

FUNDING RESTRICTIONS AND LIMITATIONS

The recipient's indirect costs are approved and based on a de minimis rate of ten (10) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective April 24, 2023.

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
LaKasa Wyatt, MPA Grants Management Specialist
Centers for Disease Control and Prevention
Branch 5 Supporting Chronic Diseases and Injury Prevention
Office of Grants Services (OGS)
Office of Financial Resources (OFR)
Office of the Chief Operating Officer (OCOO)
Centers for Disease Control and Prevention (CDC)
Lgw5@cdc.gov | 770-488-2728 office
Fax: 404-248-4180 (Include "Mandatory Grant Disclosures" in subject line)
Email: lgw5@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002320-02-00
FAIN# NUS4CE002320
Federal Award Date: 02/08/2024

Recipient Information

1. **Recipient Name**
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. **Congressional District of Recipient**
10

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Kristen Herman
kherman@pcadv.org
717-545-6400 x205

8. **Authorized Official**
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10. **Program Official Contact Information**
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. **Award Number**
5 NUS4CE002320-02-00

12. **Unique Federal Award Identification Number (FAIN)**
NUS4CE002320

13. **Statutory Authority**
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. **Federal Award Project Title**
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Non-Competing Continuation

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2024 **- End Date** 03/01/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,000,000.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002320-02-00
FAIN# NUS4CE002320
Federal Award Date: 02/08/2024

Recipient Information

Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$137,753.00
b. Fringe Benefits	$31,777.00
c. Total Personnel Costs	$169,530.00
d. Equipment	$0.00
e. Supplies	$8,486.00
f. Travel	$14,292.00
g. Construction	$0.00
h. Other	$282,692.00
i. Contractual	$25,000.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$500,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002320-02-00
FAIN# NUS4CE002320
Federal Award Date: 02/08/2024

Direct Assistance

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

AWARD ATTACHMENTS

PENNSYLVANIA COALITION AGAINST DOMESTIC 5 NUS4CE002320-02-00

1. Terms and Conditions YR2 Continuation

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CE23-2301, entitled Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD), and application dated November 6, 2023, 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 $500,000 is approved for the Year 02 budget period, which is March 2, 2024 through March 1, 2025. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. **State Level IPV Strategic Plan Enhancement and Implementation**

- Feedback on the process for enhancing or developing the SAP.
- Facilitate access and connect to SMEs on enhancing and managing an existing multisector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
- Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
- Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. **Program or Policy Effort Implementation**

- Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
- Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. **Evaluation**

- Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
    - Identifying local and state data available to monitor IPV indicators.
    - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
    - Assisting with planning and identifying measures to evaluate the selected PPEs.
    - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. **Connection to National Dialogue and Technical Assistance**

- Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
    - Convening joint teleconference calls with recipients o Networking with other NCIPC-funded partners and activities, as appropriate.
    - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.
    - Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
    - Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by

CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.

Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Indirect costs are approved based on the recipient's approved Cost Allocation Plan dated January 1, 2018.

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
Joëlle Cadet, Grants Management Specialist
Contractor: Chenega Enterprise Systems and Solutions (ChESS)
Centers for Disease Control and Prevention
Branch 1
2939 Flowers Road, MS-TV-2
Atlanta, GA 30341
Email: qrx2@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

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)).

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 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.

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002320-03-00
FAIN# NUS4CE002320
Federal Award Date: 03/07/2025

Recipient Information

1. **Recipient Name**
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. **Congressional District of Recipient**
10

3. **Payment System Identifier (ID)**
[redacted]

4. **Employer Identification Number (EIN)**
[redacted]

5. **Data Universal Numbering System (DUNS)**
[redacted]

6. **Recipient's Unique Entity Identifier (UEI)**
[redacted]

7. **Project Director or Principal Investigator**
Kristen Herman
Director of Prevention
kherman@pcadv.org
717-545-6400 x205

8. **Authorized Official**
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. **Awarding Agency Contact Information**
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10. **Program Official Contact Information**
Melanie Maino Vieytes
Program Officer
jrr4@cdc.gov
301-503-6558

Federal Award Information

11. **Award Number**
5 NUS4CE002320-03-00

12. **Unique Federal Award Identification Number (FAIN)**
NUS4CE002320

13. **Statutory Authority**
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. **Federal Award Project Title**
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. **Assistance Listing Number**
93.136

16. **Assistance Listing Program Title**
Injury Prevention and Control Research and State and Community Based Programs

17. **Award Action Type**
Non-Competing Continuation

18. **Is the Award R&D?**
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$500,000.00
	20a. Direct Cost Amount	$500,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. **Authorized Treatment of Program Income**
ADDITIONAL COSTS

29. **Grants Management Officer – Signature**
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $500,000.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NUS4CE002320-03-00
FAIN# NUS4CE002320
Federal Award Date: 03/07/2025

Recipient Information

Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$158,457.00
b. Fringe Benefits	$42,214.00
c. Total Personnel Costs	$200,671.00
d. Equipment	$0.00
e. Supplies	$8,073.00
f. Travel	$5,154.00
g. Construction	$0.00
h. Other	$57,302.00
i. Contractual	$228,800.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$500,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NUS4CE002320-03-00
FAIN# NUS4CE002320
Federal Award Date: 03/07/2025

Direct Assistance

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

AWARD ATTACHMENTS

PENNSYLVANIA COALITION AGAINST DOMESTIC 5 NUS4CE002320-03-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0027**, entitled ***Rape Prevention and Education***, and application dated October 31, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than May 30, 2025.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-01-01
FAIN# NUS4CE002320
Federal Award Date: 09/20/2023

Recipient Information

1. Recipient Name
Pennsylvania Coalition Against Domestic Violence
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. Congressional District of Recipient
10

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Kristen Herman
kherman@pcadv.org
717-545-6400 x205

8. Authorized Official
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Ms. Jessica (Jessie) Crowell
wzu6@cdc.gov
404.718.5132

Federal Award Information

11. Award Number
6 NUS4CE002320-01-01

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002320

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-01-01
FAIN# NUS4CE002320
Federal Award Date: 09/20/2023

Recipient Information

Recipient Name
Pennsylvania Coalition Against Domestic Violence
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$129,510.00
b. Fringe Benefits	$35,611.00
c. Total Personnel Costs	$165,121.00
d. Equipment	$0.00
e. Supplies	$7,437.00
f. Travel	$14,292.00
g. Construction	$0.00
h. Other	$240,000.00
i. Contractual	$23,150.00
j. TOTAL DIRECT COSTS	$450,000.00
k. INDIRECT COSTS	$50,000.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002320-01-01
FAIN# NUS4CE002320
Federal Award Date: 09/20/2023

Direct Assistance

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

AWARD ATTACHMENTS

Pennsylvania Coalition Against Domestic Violence 6 NUS4CE002320-01-01

1. Administrative Action Budgetary start date change

Administrative Action: This action is to change the budgetary beginning date from 5/1/2023 to 3/2/2023.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-01-02
FAIN# NUS4CE002320
Federal Award Date: 02/21/2024

Recipient Information

1. Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. Congressional District of Recipient
10

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Kristen Herman
kherman@pcadv.org
717-545-6400 x205

8. Authorized Official
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Joelle Cadet
Grants Management Specialist
qrx2@cdc.gov
(404) 498-4349

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
6 NUS4CE002320-01-02

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002320

13. Statutory Authority
The Family Violence and Prevention Services Act (FVPSA) statute (42 USC § 10414)

14. Federal Award Project Title
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2023 **- End Date** 03/01/2024	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Perfomance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,000,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-01-02
FAIN# NUS4CE002320
Federal Award Date: 02/21/2024

Recipient Information

Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$129,510.00
b. Fringe Benefits	$35,611.00
c. Total Personnel Costs	$165,121.00
d. Equipment	$0.00
e. Supplies	$7,437.00
f. Travel	$14,292.00
g. Construction	$0.00
h. Other	$240,000.00
i. Contractual	$23,150.00
j. TOTAL DIRECT COSTS	$450,000.00
k. INDIRECT COSTS	$50,000.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-23-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002320-01-02
FAIN# NUS4CE002320
Federal Award Date: 02/21/2024

Direct Assistance

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

AWARD ATTACHMENTS

PENNSYLVANIA COALITION AGAINST DOMESTIC 6 NUS4CE002320-01-02

1. Terms and Conditions Corrected Action

ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD

ADMINISTRAIVE CORRECTION: The purpose of this amended Notice of Award is to include in the budget revision requirements that were inadvertently not included in Year 02 Continuation Award dated February 8, 2024.

Travel: PCADV should revisit the calculations for the "Travel- In State" costs as they are not adding up to the total listed in the budget narrative. PCADV should revise or clarify the calculations done to reach the total for in state travel of $4,284 and upload their revised budget narrative to GrantSolutions as a part of the response to Technical Review.

Please be advised that the recipient must exercise proper stewardship over Federal funds by ensuring that all cost charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

All other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-03-01
FAIN# NUS4CE002320
Federal Award Date: 03/21/2025

Recipient Information

1. Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. Congressional District of Recipient
10

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Kristen Herman
Director of Prevention
kherman@pcadv.org
717-545-6400 x205

8. Authorized Official
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Claire Lisco
Program Officer
rwt3@cdc.gov
404-639-0587

Federal Award Information

11. Award Number
6 NUS4CE002320-03-01

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002320

13. Statutory Authority
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. Federal Award Project Title
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Administrative Action

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Administrative Action-Correcting Terms and Conditions

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-03-01
FAIN# NUS4CE002320
Federal Award Date: 03/21/2025

Recipient Information

Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$158,457.00
b. Fringe Benefits	$42,214.00
c. Total Personnel Costs	$200,671.00
d. Equipment	$0.00
e. Supplies	$8,073.00
f. Travel	$5,154.00
g. Construction	$0.00
h. Other	$57,302.00
i. Contractual	$228,800.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002320-03-01
FAIN# NUS4CE002320
Federal Award Date: 03/21/2025

Direct Assistance

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

AWARD ATTACHMENTS

PENNSYLVANIA COALITION AGAINST DOMESTIC 6 NUS4CE002320-03-01

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE23-2301**, entitled **Domestic Violence Prevention Enhancement and Leadership Through Alliances (DELTA): Achieving Health Equity through Addressing Disparities (AHEAD)**, and application dated November 6, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Applicability of 2 CFR 200 Provisions Beginning October 1, 2024:
This award is subject to the requirements in 45 CFR Part 75, except as amended by the following provisions of 2 CFR Part 200, which apply to new, continuation, and supplemental awards made on or after October 1, 2024.

- 2 CFR § 200.1. Definitions, "*Modified Total Direct Cost*", "*Equipment*", and "*Supplies*"
- 2 CFR § 200.313(e). Equipment, *Disposition*
- 2 CFR § 200.314(a). Supplies
- 2 CFR § 200.320. Procurement methods
- 2 CFR § 200.333. Fixed amount subawards
- 2 CFR § 200.344. Closeout
- 2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*
- 2 CFR § 200.501. Audit requirements

2 CFR 200 citation	**Replaces 45 CFR 75 citation**
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*
2 CFR § 200.1. Definitions, *"Equipment"*	45 CFR § 75.2. Definitions, *"Equipment"*
2 CFR § 200.1. Definitions, *"Supplies"*	45 CFR § 75.2. Definitions, *"Supplies"*
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies
2 CFR § 200.320. Procurement methods	45 CFR § 75.329. Procurement procedures
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards
2 CFR § 200.344. Closeout	45 CFR § 75.381. Closeout
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, *De Minimis Rate*
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient *in GrantSolutions Grant Notes*. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

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 as detailed in the NOFO and included below.

CDC will use monitoring and performance measure data to provide feedback to recipients, and to tailor technical assistance as needed. This may include direct technical assistance, rapid feedback, tools and resources, and consultation on all aspects of recipient activities, and facilitate information sharing among recipients. CDC will provide technical assistance and feedback in the following ways:

1. State Level IPV Strategic Plan Enhancement and Implementation
   - Feedback on the process for enhancing or developing the SAP.
   - Facilitate access and connect to SMEs on enhancing and managing an existing multi-sector committees or community advisory board, as well as leading/facilitating planning and implementation processes that involve multiple sectors.
   - Identifying areas of organizational and community capacity to assess; developing appropriate assessment and measurement tools; and utilizing data to inform capacity improvement activities.
   - Suggestions and guidance around developing the work plan, Implementation Plans, capacity building, and sustainability planning to sustain implementation and expansion of prevention efforts.

2. Program or Policy Effort Implementation
   - Providing guidance to recipients on ways to enhance successful implementation of the PPEs as described in the NOFO.
   - Monitoring the recipients' performance of program activities and compliance with requirements, meetings with recipients, including conferences, committees, and conference calls and working groups related to the cooperative agreement and its projects.

3. Evaluation
   - Facilitating successful evaluation of the outcomes and implementation of the collective activities in the state as described in the NOFO. Examples of resources and tools provided by CDC include, but are not limited to:
     - Identifying local and state data available to monitor IPV indicators.
     - Using collected performance measures, reports, and/or data to provide recipients with feedback for continuous program improvement.
     - Assisting with planning and identifying measures to evaluate the selected PPEs.
     - Providing guidance on evaluating recipients' performance of program activities and compliance with award performance standards.

4. Connection to National Dialogue and Technical Assistance
   - Providing access to opportunities enabling a community of practice or establishing learning communities, and facilitating information sharing between funded states and with the IPV field, including but not limited to:
     - Convening joint teleconference calls with recipients
     - Networking with other NCIPC-funded partners and activities, as appropriate.
     - Providing up-to-date scientific information on IPV indicators, risk and protective factors, and effective programs and policy efforts, as well as findings from formative research.

- Sharing successful program models, lessons learned practices, and program evaluation results through convening meetings of recipients and communication between the recipient and CDC's project officers.
- Collaborating and providing technical assistance with national technical assistance providers including the Violence Prevention Technical Assistance Center (VPTAC) for access to resources such as webinars, presentations, communities of practice, and materials such as guidance documents, technical packages, and info graphics. VPTAC is a training and technical assistance hub for the public health department and domestic violence coalitions funded by CDC's DVP Program Prevention Practice and Translation Branch (PPTB). VPTAC works closely with PPTB's internal technical assistance providers (Evaluation Officers and Project Officers) to support programmatic functional areas including implementation, uptake, and spread of effective programs and interventions, translation and dissemination of cross-cutting violence prevention guidance, tools, and products, and program evaluation guidance.
- Translating and disseminating lesson learned through publications, meetings, and other means on promising and best practices to expand the evidence base.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:
Restrictions that must be considered while planning the programs and writing the budget are:

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

Please see the following guidance concerning prohibitions on the use of CDC award funds for impermissible lobbying: https://www.cdc.gov/obesity/downloads/Anti-Lobbying-Restrictions-for-CDC-Grantees-July2012-508.pdf

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than May 30, 2025.

REPORTING REQUIREMENTS

Performance Progress and Monitoring: 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: 03/31/2026.** The components of the PPMR are available for download at: https://www.cdc.gov/grants/already-have-grant/Reporting.html

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-03-02
FAIN# NUS4CE002320
Federal Award Date: 04/10/2025

Recipient Information

1. Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

2. Congressional District of Recipient
10

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Kristen Herman
Director of Prevention
kherman@pcadv.org
717-545-6400 x205

8. Authorized Official
Susan Higginbotham
shigginbotham@pcadv.org
717-545-6400

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Brittany Fain
Grants Management Specialist
laa4@cdc.gov
404-498-4228

10.Program Official Contact Information
Ms. Anika Norwood
Project Officer
owm8@cdc.gov
404.558.9042

Federal Award Information

11. Award Number
6 NUS4CE002320-03-02

12. Unique Federal Award Identification Number (FAIN)
NUS4CE002320

13. Statutory Authority
42 U.S.C. 10414 (Family Violence and Prevention Services Act (FVPSA) statute); and Sections 317(k)(2) and 393 of the Public Health Service Act (42 U.S.C. Sections 247b(k)(2) and 280b-1a, as amended

14. Federal Award Project Title
Achieving Health Equity through Addressing Disparities in PA: Using CBIM, Greening Spaces, and Comparable Worth Policies at the State and Community Level to Prevent IPV and Other Forms of Violence

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Budget Revision

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 03/02/2025 **- End Date** 03/01/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$500,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$500,000.00
26.	**Period of Performance Start Date** 03/02/2023 **- End Date** 03/01/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$1,500,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Indirect Cost Rate-Approved

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NUS4CE002320-03-02
FAIN# NUS4CE002320
Federal Award Date: 04/10/2025

Recipient Information

Recipient Name
PENNSYLVANIA COALITION AGAINST DOMESTIC
3605 Vartan Way STE 101
Harrisburg, PA 17110-9335
[NO DATA]

Congressional District of Recipient
10

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Cooperative Agreement

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$158,457.00
b. Fringe Benefits	$42,214.00
c. Total Personnel Costs	$200,671.00
d. Equipment	$0.00
e. Supplies	$8,073.00
f. Travel	$5,154.00
g. Construction	$0.00
h. Other	$57,302.00
i. Contractual	$228,800.00
j. TOTAL DIRECT COSTS	$500,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$500,000.00
m. Federal Share	$500,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-24-0952
5-939ZSHB	23NUS4CE002320	CE	410Q	93.136	$0.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NUS4CE002320-03-02
FAIN# NUS4CE002320
Federal Award Date: 04/10/2025

Direct Assistance

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

AWARD ATTACHMENTS

PENNSYLVANIA COALITION AGAINST DOMESTIC 6 NUS4CE002320-03-02

1. Terms and Conditions

ADDITIONAL TERMS AND CONDITIONS OF AWARD

INDIRECT COSTS: Indirect costs are approved based on the recipient's approved Cost Allocation Plan dated November 12, 2024.

Please be advised that recipients must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

PLEASE INCLUDE AWARD NUMBER ON ALL CORRESPONDENCE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002272-01-00
FAIN# NVF1CE002272
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
JANE DOE INC.: THE MASSACHUSETTS COALITION AGAINST SEXUAL ASSAULT AND DOMESTIC VIOLENCE
33 Arch St STE 1700
Boston, MA 02110-1452

2. Congressional District of Recipient
08

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Nanee Sajeev
Principal Investigator
NSajeev@janedoe.org
617-557-1805

8. Authorized Official
Ms. Debra Robbin
AOR/Executive Director
drobbin@janedoe.org
617-557-1815

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Brooke Douglas
Lead Author
qke0@cdc.gov
404.498.1877

Federal Award Information

11. Award Number
1 NVF1CE002272-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002272

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing Capacity for Sexual Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002272-01-00
FAIN# NVF1CE002272
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
JANE DOE INC.: THE MASSACHUSETTS COALITION AGAINST SEXUAL ASSAULT AND DOMESTIC VIOLENCE
33 Arch St STE 1700
Boston, MA 02110-1452

Congressional District of Recipient
08

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$79,763.00
b. Fringe Benefits	$20,178.00
c. Total Personnel Costs	$99,941.00
d. Equipment	$0.00
e. Supplies	$223.00
f. Travel	$6,258.00
g. Construction	$0.00
h. Other	$11,693.00
i. Contractual	$16,885.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002272	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002272-01-00
FAIN# NVF1CE002272
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

JANE DOE INC.: THE MASSACHUSETTS COALITION AGAINST SEXUAL ASSAULT AND DOMESTIC VIOLENCE	1 NVF1CE002272-01-00

1. Terms and Conditions CDC-RFA-CE-24-0068

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 **CDC-RFA-CE-24-0068 Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions,** and application dated **April 16, 2024** as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Financial Assistance Mechanism: Grant.

Summary Statement/Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Summary Statement/Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:

- Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
- The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

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

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002272-02-00
FAIN# NVF1CE002272
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
JANE DOE INC.: THE MASSACHUSETTS COALITION AGAINST SEXUAL ASSAULT AND DOMESTIC VIOLENCE
33 Arch St STE 1700
Boston, MA 02110-1452

2. Congressional District of Recipient
08

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Nanee Sajeev
Principal Investigator
NSajeev@janedoe.org
617-557-1805

8. Authorized Official
Ms. Hema Sarang-Sieminski
Executive Director
hsarang-sieminski@janedoe.org
617-435-8005

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Brooke Douglas
Lead Author
qke0@cdc.gov
404.498.1877

Federal Award Information

11. Award Number
5 NVF1CE002272-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002272

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing Capacity for Sexual Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002272-02-00
FAIN# NVF1CE002272
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
JANE DOE INC.: THE MASSACHUSETTS COALITION AGAINST SEXUAL ASSAULT AND DOMESTIC VIOLENCE
33 Arch St STE 1700
Boston, MA 02110-1452

Congressional District of Recipient
08

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$79,763.00
b. Fringe Benefits	$20,178.00
c. Total Personnel Costs	$99,941.00
d. Equipment	$0.00
e. Supplies	$223.00
f. Travel	$6,258.00
g. Construction	$0.00
h. Other	$11,693.00
i. Contractual	$16,885.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002272	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002272-02-00
FAIN# NVF1CE002272
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

JANE DOE INC.: THE MASSACHUSETTS COALITION AGAINST SEXUAL ASSAULT AND DOMESTIC VIOLENCE	5 NVF1CE002272-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 14, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Grant.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.

- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested, or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than July 31, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002284-01-00
FAIN# NVF1CE002284
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
DC COALITION TO END SEXUAL VIOLENCE
1120 20th St NW STE 300S
Washington, DC 20036-3445

2. Congressional District of Recipient
00

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. Neil Irvin
MCSR Executive Director
nirvin@mcsr.org
301-254-6172

8. Authorized Official
Ms. Rachel Friedman
Board Chair
rachel@dccesv.org
6173887742

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Krizia Veguilla Rodriguez
Grants Management Specialist
tgu3@cdc.gov
404-638-7394

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
1 NVF1CE002284-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002284

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing DCCESV Capacity for Sexual Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,760.00
	20b. Indirect Cost Amount	$6,240.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002284-01-00
FAIN# NVF1CE002284
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
DC COALITION TO END SEXUAL VIOLENCE
1120 20th St NW STE 300S
Washington, DC 20036-3445

Congressional District of Recipient
00

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$62,750.00
b. Fringe Benefits	$10,668.00
c. Total Personnel Costs	$73,418.00
d. Equipment	$0.00
e. Supplies	$9,000.00
f. Travel	$1,400.00
g. Construction	$0.00
h. Other	$4,999.00
i. Contractual	$39,943.00
j. TOTAL DIRECT COSTS	$128,760.00
k. INDIRECT COSTS	$6,240.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002284	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002284-01-00
FAIN# NVF1CE002284
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

DC COALITION TO END SEXUAL VIOLENCE 1 NVF1CE002284-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0068, entitled Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions, and application dated April 16, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.

- The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: The recipient's indirect costs are approved and based on a de minimis rate of ten (10) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2024.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002284-02-00
FAIN# NVF1CE002284
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
DC COALITION TO END SEXUAL VIOLENCE
1120 20th St NW STE 300S
Washington, DC 20036-3445

2. Congressional District of Recipient
00

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. Neil Irvin
MCSR Executive Director
nirvin@mcsr.org
301-254-6172

8. Authorized Official
Ms. Rachel Friedman
Board Chair
rachel@dccesv.org
6173887742

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Krizia Veguilla Rodriguez
Grants Management Specialist
tgu3@cdc.gov
404-638-7394

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
5 NVF1CE002284-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002284

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing DCCESV Capacity for Sexual Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,572.00
	20b. Indirect Cost Amount	$6,428.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mrs. Rhonda Colbert
Grants Management Officer

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002284-02-00
FAIN# NVF1CE002284
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
DC COALITION TO END SEXUAL VIOLENCE
1120 20th St NW STE 300S
Washington, DC 20036-3445

Congressional District of Recipient
00

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$47,258.00
b. Fringe Benefits	$8,034.00
c. Total Personnel Costs	$55,292.00
d. Equipment	$0.00
e. Supplies	$0.00
f. Travel	$1,400.00
g. Construction	$0.00
h. Other	$5,000.00
i. Contractual	$66,880.00
j. TOTAL DIRECT COSTS	$128,572.00
k. INDIRECT COSTS	$6,428.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002284	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002284-02-00
FAIN# NVF1CE002284
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

DC COALITION TO END SEXUAL VIOLENCE 5 NVF1CE002284-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 12, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 “Remarks” of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient’s authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Although the DC Coalition to End Sexual Violence indirect costs are approved based on a de minimis rate of 15%, a lower rate of 5 percent is requested. The reduced indirect cost rate is approved, with a base of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002288-01-00
FAIN# NVF1CE002288
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE
1411 W Main St
Richmond, VA 23220-4629
(804) 377-0335

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kristen Pritchard
Prevention and Health Promotion Director
kpritchard@vsdvalliance.org
804-377-0335

8. Authorized Official
Ms. Kristi VanAudenhove
Executive Director
kvanaudenhove@vsdvalliance.org
804-377-0335

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
Grants Management Officer
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
1 NVF1CE002288-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002288

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
TO BE COMPLETED LATER

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,250.00
	20b. Indirect Cost Amount	$6,750.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002288-01-00
FAIN# NVF1CE002288
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE
1411 W Main St
Richmond, VA 23220-4629
(804) 377-0335

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$87,850.00
b. Fringe Benefits	$27,205.03
c. Total Personnel Costs	$115,055.03
d. Equipment	$0.00
e. Supplies	$1,685.88
f. Travel	$5,569.09
g. Construction	$0.00
h. Other	$1,190.00
i. Contractual	$4,750.00
j. TOTAL DIRECT COSTS	$128,250.00
k. INDIRECT COSTS	$6,750.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002288	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002288-01-00
FAIN# NVF1CE002288
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE 1 NVF1CE002288-01-00

1. VA Terms and Conditions 2024

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0068, entitled Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions, and application dated April 16, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

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

Deduction alternative: Under this alternative, program income is deducted from total allowable project/program costs to determine the net allowable costs on which the federal share of costs is based. This is similar to an applicable credit being applied to reduce the amount of the federal award.

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

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs:

The recipient's indirect costs are approved and based on a de minimis rate of ten (5) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2024.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002288-02-00
FAIN# NVF1CE002288
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE
1118 W Main St
Virginia Sexual and Domestic Violence Action Alliance
Richmond, VA 23220-4810

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kristen Pritchard
Prevention and Health Promotion Director
kpritchard@vsdvalliance.org
804-377-0335

8. Authorized Official
Ms. Kristi VanAudenhove
Executive Director
kvanaudenhove@vsdvalliance.org
804-377-0335

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Rhonda Colbert
Grants Management Officer
hvx1@cdc.gov
770-488-2848

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
5 NVF1CE002288-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002288

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
TO BE COMPLETED LATER

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,250.00
	20b. Indirect Cost Amount	$6,750.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002288-02-00
FAIN# NVF1CE002288
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE
1118 W Main St
Virginia Sexual and Domestic Violence Action Alliance
Richmond, VA 23220-4810

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$91,300.00
b. Fringe Benefits	$27,347.00
c. Total Personnel Costs	$118,647.00
d. Equipment	$0.00
e. Supplies	$288.00
f. Travel	$1,315.00
g. Construction	$0.00
h. Other	$250.00
i. Contractual	$7,750.00
j. TOTAL DIRECT COSTS	$128,250.00
k. INDIRECT COSTS	$6,750.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002288	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002288-02-00
FAIN# NVF1CE002288
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE 5 NVF1CE002288-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 13, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

Budget Revision Requirement: By **July 30, 2025** the recipient must submit a revised budget with a narrative justification regarding the administrative restrictions identified in the "Funding Restrictions and Limitations" section of this NoA. 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.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Administrative Restriction:

Budget Narrative & Justification & SF424A Budget Worksheet – The recipient must update the budget to remove cents in the **Fringe** and **Travel** cost categories and calculations. Per the CDC Office of Financial Resources Budget Preparation Guidelines, recipients must round all amounts requested to the nearest dollar and not report cents. The revised budget must be submitted to GMO for approval.

Indirect Costs: Although Virginia Sexual and Domestic Violence Action Alliance's indirect costs are based on an approved de minimis rate of 15%, a lower rate of 5 percent is requested. The reduced indirect cost rate is approved, with a base of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NVF1CE002288-01-01
FAIN# NVF1CE002288
Federal Award Date: 08/07/2025

Recipient Information

1. Recipient Name
THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE
1118 W Main St
Virginia Sexual and Domestic Violence Action Alliance
Richmond, VA 23220-4810

2. Congressional District of Recipient
04

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kristen Pritchard
Prevention and Health Promotion Director
kpritchard@vsdvalliance.org
804-377-0335

8. Authorized Official
Ms. Kristi VanAudenhove
Executive Director
kvanaudenhove@vsdvalliance.org
804-377-0335

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Rhonda Colbert
Grants Management Officer
hvx1@cdc.gov
770-488-2848

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
6 NVF1CE002288-01-01

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002288

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
TO BE COMPLETED LATER

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Notification of a Contractor or Consultant

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$135,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Recipient is providing additional information on contractors who completed the activities for year 1.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NVF1CE002288-01-01
FAIN# NVF1CE002288
Federal Award Date: 08/07/2025

Recipient Information

Recipient Name
THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE
1118 W Main St
Virginia Sexual and Domestic Violence Action Alliance
Richmond, VA 23220-4810

Congressional District of Recipient
04

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$87,850.00
b. Fringe Benefits	$27,205.03
c. Total Personnel Costs	$115,055.03
d. Equipment	$0.00
e. Supplies	$1,685.88
f. Travel	$5,569.09
g. Construction	$0.00
h. Other	$1,190.00
i. Contractual	$4,750.00
j. TOTAL DIRECT COSTS	$128,250.00
k. INDIRECT COSTS	$6,750.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002288	CE	410U	93.136	$0.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NVF1CE002288-01-01
FAIN# NVF1CE002288
Federal Award Date: 08/07/2025

Direct Assistance

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

AWARD ATTACHMENTS

THE VIRGINIA SEXUAL AND DOMESTIC VIOLENCE ACTION ALLIANCE 6 NVF1CE002288-01-01

1. Terms and Conditions

Consultant: The purpose of this amended Notice of Award is to acknowledge receipt of all required elements for the Year 1 Consultants listed below. This approval is in response to the request submitted by your organization dated July 15, 2025.

Consultant 1 RISE Health for Life

Consultant 2 Zack Miller

Consultant 3 Savannah Miller

Consultant 4 Shannon Papalia

Consultant 5 Jae De La Mora

Consultant 6 Lindsey Hayes

Consultant 7 Kai LLC

Consultant 8 Chad Lewis

Consultant 9 Education Department, VLPP

Consultant 10 Erin Stokes Wyatt

Consultant 11 Erika Callaway Kleiner

Consultant 12 Jay Grebe

Consultant 13 Jennifer Gallienne

Please be advised that recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, and reasonable.

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

PLEASE INCLUDE AWARD NUMBER ON CORRESPONDENCE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002292-01-00
FAIN# NVF1CE002292
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
WISCONSIN COALITION AGAINST SEXUAL ASSAULT INC
2801 W Beltline Hwy STE 202
Madison, WI 53713-4221

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kelly Moe Litke
Interim Executive Director
kellyml@wcasa.org
608-257-1516

8. Authorized Official
Miss Amanda Dotson
Associate Director
amandad@wcasa.org
608-257-1516

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
Grants Management Officer
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
1 NVF1CE002292-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002292

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Decreasing SV perpetration and victimization rates, while also reducing disparities in SV by addressing associated inequities in social and structural determinants of health.

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002292-01-00
FAIN# NVF1CE002292
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
WISCONSIN COALITION AGAINST SEXUAL ASSAULT INC
2801 W Beltline Hwy STE 202
Madison, WI 53713-4221

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$95,331.00
b. Fringe Benefits	$21,030.00
c. Total Personnel Costs	$116,361.00
d. Equipment	$0.00
e. Supplies	$0.00
f. Travel	$6,378.00
g. Construction	$0.00
h. Other	$10,211.00
i. Contractual	$2,050.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002292	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002292-01-00
FAIN# NVF1CE002292
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

WISCONSIN COALITION AGAINST SEXUAL ASSAULT INC 1 NVF1CE002292-01-00

1. WI Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0068, entitled Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions, and application dated April 16, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

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

Deduction alternative: Under this alternative, program income is deducted from total allowable project/program costs to determine the net allowable costs on which the federal share of costs is based. This is similar to an applicable credit being applied to reduce the amount of the federal award.

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

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs:

Indirect costs are not applicable to this award.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002292-02-00
FAIN# NVF1CE002292
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
WISCONSIN COALITION AGAINST SEXUAL ASSAULT INC
2801 W Beltline Hwy STE 202
Wisconsin Coalition Against Sexual assault
Madison, WI 53713-4221

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kelly Moe Litke
Interim Executive Director
kellyml@wcasa.org
608-257-1516

8. Authorized Official
Miss Amanda Dotson
Associate Director
amandad@wcasa.org
608-257-1516

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Rhonda Colbert
Grants Management Officer
hvx1@cdc.gov
770-488-2848

10.Program Official Contact Information
Dr. Taneshia Knight
Project Officer
hez7@cdc.gov
4044984269

Federal Award Information

11. Award Number
5 NVF1CE002292-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002292

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Decreasing SV perpetration and victimization rates, while also reducing disparities in SV by addressing associated inequities in social and structural determinants of health.

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002292-02-00
FAIN# NVF1CE002292
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
WISCONSIN COALITION AGAINST SEXUAL ASSAULT INC
2801 W Beltline Hwy STE 202
Wisconsin Coalition Against Sexual assault
Madison, WI 53713-4221

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$88,050.00
b. Fringe Benefits	$19,412.00
c. Total Personnel Costs	$107,462.00
d. Equipment	$0.00
e. Supplies	$0.00
f. Travel	$6,177.00
g. Construction	$0.00
h. Other	$15,286.00
i. Contractual	$6,075.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002292	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002292-02-00
FAIN# NVF1CE002292
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

WISCONSIN COALITION AGAINST SEXUAL ASSAULT INC 5 NVF1CE002292-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 12, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.

- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
  - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
  - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
  - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than **July 30, 2025**.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities

have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002293-01-00
FAIN# NVF1CE002293
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
COLORADO COALITION AGAINST SEXUAL ASSAULT
1330 Fox St STE 2
Denver, CO 80204-2602

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Sierra Agens
sierra@ccasa.org
720-728-8378

8. Authorized Official
Brie Franklin Akins
brie@ccasa.org
303-839-0029

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Krizia Veguilla Rodriguez
Grants Management Specialist
tgu3@cdc.gov
404-638-7394

10.Program Official Contact Information
Ms. Shayla L Wilkinson
Project Officer
DVP PPTB
IHB9@cdc.gov
17704881638

Federal Award Information

11. Award Number
1 NVF1CE002293-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002293

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing the Colorado Coalition Against Sexual Assault's Capacity for Sexual Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002293-01-00
FAIN# NVF1CE002293
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
COLORADO COALITION AGAINST SEXUAL ASSAULT
1330 Fox St STE 2
Denver, CO 80204-2602

Congressional District of Recipient
01

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$101,065.00
b. Fringe Benefits	$20,299.00
c. Total Personnel Costs	$121,364.00
d. Equipment	$0.00
e. Supplies	$495.00
f. Travel	$4,980.00
g. Construction	$0.00
h. Other	$4,477.00
i. Contractual	$3,684.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002293	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002293-01-00
FAIN# NVF1CE002293
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

COLORADO COALITION AGAINST SEXUAL ASSAULT 1 NVF1CE002293-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0068, entitled Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions, and application dated April 16, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.

- The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than July 30, 2024.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002293-02-00
FAIN# NVF1CE002293
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
COLORADO COALITION AGAINST SEXUAL ASSAULT
1330 Fox St STE 2
Denver, CO 80204-2602

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Sierra Agens
sierra@ccasa.org
720-728-8378

8. Authorized Official
Brie Franklin Akins
brie@ccasa.org
303-839-0029

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Krizia Veguilla Rodriguez
Grants Management Specialist
tgu3@cdc.gov
404-638-7394

10.Program Official Contact Information
Ms. Shayla L Wilkinson
Project Officer
DVP PPTB
IHB9@cdc.gov
17704881638

Federal Award Information

11. Award Number
5 NVF1CE002293-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002293

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing the Colorado Coalition Against Sexual Assault's Capacity for Sexual Violence Prevention

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,571.00
	20b. Indirect Cost Amount	$6,429.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mrs. Rhonda Colbert
Grants Management Officer

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002293-02-00
FAIN# NVF1CE002293
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
COLORADO COALITION AGAINST SEXUAL ASSAULT
1330 Fox St STE 2
Denver, CO 80204-2602

Congressional District of Recipient
01

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$106,668.00
b. Fringe Benefits	$21,809.00
c. Total Personnel Costs	$128,477.00
d. Equipment	$0.00
e. Supplies	$94.00
f. Travel	$0.00
g. Construction	$0.00
h. Other	$0.00
i. Contractual	$0.00
j. TOTAL DIRECT COSTS	$128,571.00
k. INDIRECT COSTS	$6,429.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002293	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002293-02-00
FAIN# NVF1CE002293
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

COLORADO COALITION AGAINST SEXUAL ASSAULT 5 NVF1CE002293-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 14, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 “Remarks” of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient’s authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Although the Colorado Coalition Against Sexual Assault indirect costs are based on an approved de minimis rate of 15%, a lower rate of 5 percent is requested. The reduced indirect cost rate is approved, with a base of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002295-01-00
FAIN# NVF1CE002295
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
MONTANA COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE
7 W 6th Ave STE 3A
PO BOX 818
Montana Coalition Against Domestic And Sexual Violence

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kelsen Young
Executive Director
kyoung@mcadsv.com
406-443-7794x115

8. Authorized Official
Ms. Kim Ranger
Administrative Director
kranger@mcadsv.com
406-443-7794 x111

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Ms. Shayla L Wilkinson
Project Officer
DVP PPTB
IHB9@cdc.gov
17704881638

Federal Award Information

11. Award Number
1 NVF1CE002295-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002295

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
MCADSV CDC RPE 2024-2025

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002295-01-00
FAIN# NVF1CE002295
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
MONTANA COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE
7 W 6th Ave STE 3A
PO BOX 818
Montana Coalition Against Domestic And Sexual Violence

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$34,590.00
b. Fringe Benefits	$15,708.00
c. Total Personnel Costs	$50,298.00
d. Equipment	$0.00
e. Supplies	$7,200.00
f. Travel	$32,464.00
g. Construction	$0.00
h. Other	$32,363.00
i. Contractual	$12,675.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002295	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002295-01-00
FAIN# NVF1CE002295
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

MONTANA COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE 1 NVF1CE002295-01-00

1. Terms and Conditions CDC-RFA-CE-24-0068

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 **CDC-RFA-CE-24-0068 Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions,** and application dated **April 16, 2024** as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Financial Assistance Mechanism: Grant.

Summary Statement/Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Summary Statement/Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:

- Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
- The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

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

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002295-02-00
FAIN# NVF1CE002295
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
MONTANA COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE
7 W 6th Ave STE 3A
Helena, MT 59601-5036
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Kelsen Young
Executive Director
kyoung@mcadsv.com
406-443-7794x115

8. Authorized Official
Ms. Kim Ranger
Administrative Director
kranger@mcadsv.com
406-443-7794 x111

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Ms. Shayla L Wilkinson
Project Officer
DVP PPTB
IHB9@cdc.gov
17704881638

Federal Award Information

11. Award Number
5 NVF1CE002295-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002295

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
MCADSV CDC RPE 2024-2025

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002295-02-00
FAIN# NVF1CE002295
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
MONTANA COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE
7 W 6th Ave STE 3A
Helena, MT 59601-5036
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$34,590.00
b. Fringe Benefits	$15,708.00
c. Total Personnel Costs	$50,298.00
d. Equipment	$0.00
e. Supplies	$7,200.00
f. Travel	$32,464.00
g. Construction	$0.00
h. Other	$32,363.00
i. Contractual	$12,675.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002295	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002295-02-00
FAIN# NVF1CE002295
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

MONTANA COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE 5 NVF1CE002295-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 14, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Grant.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.

- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested, or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than July 31, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002308-01-00
FAIN# NVF1CE002308
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
KANSAS COALITTION AGAINST SEXUAL &
DOMESTIC VIOLENCE
634 SW Harrison St
KANSAS COALITION AGAINST SEXUAL
Topeka, KS 66603-3706
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Angie Swart
Program Director
aswart@kssdv.org
785.232.9784

8. Authorized Official
Ms. Sarah Hachmeister
Associate Director of Programs
shachmeister@kcsdv.org
1-785-232-9784

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Ms. Tristi Bond
Program Officer
utq7@cdc.gov
(404) 639-8989

Federal Award Information

11. Award Number
1 NVF1CE002308-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002308

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing Primary Prevention Infrastructure: Collaborative Efforts in Kansas

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002308-01-00
FAIN# NVF1CE002308
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
KANSAS COALITTION AGAINST SEXUAL &
DOMESTIC VIOLENCE
634 SW Harrison St
KANSAS COALITION AGAINST SEXUAL
Topeka, KS 66603-3706
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$60,837.00
b. Fringe Benefits	$17,027.00
c. Total Personnel Costs	$77,864.00
d. Equipment	$0.00
e. Supplies	$4,303.00
f. Travel	$13,609.00
g. Construction	$0.00
h. Other	$12,164.00
i. Contractual	$27,060.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002308	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002308-01-00
FAIN# NVF1CE002308
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

KANSAS COALITTION AGAINST SEXUAL & DOMESTIC VIOLENCE 1 NVF1CE002308-01-00

1. Terms and Conditions CDC-RFA-CE-24-0068

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 **CDC-RFA-CE-24-0068 Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions,** and application dated **April 16, 2024** as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Financial Assistance Mechanism: Grant.

Summary Statement/Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Summary Statement/Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:

- Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
- The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

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

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002308-02-00
FAIN# NVF1CE002308
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
KANSAS COALITTION AGAINST SEXUAL & DOMESTIC VIOLENCE
634 SW Harrison St
Topeka, KS 66603-3706
[NO DATA]

2. Congressional District of Recipient
02

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Ms. Angie Swart
Program Director
aswart@kssdv.org
785.232.9784

8. Authorized Official
Ms. Sarah Hachmeister
Associate Director of Programs
shachmeister@kcsdv.org
1-785-232-9784

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Kiwanda Mclemore
Program Officer
xrt4@cdc.gov
(770) 488-5086

Federal Award Information

11. Award Number
5 NVF1CE002308-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002308

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing Primary Prevention Infrastructure: Collaborative Efforts in Kansas

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002308-02-00
FAIN# NVF1CE002308
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
KANSAS COALITTION AGAINST SEXUAL & DOMESTIC VIOLENCE
634 SW Harrison St
Topeka, KS 66603-3706
[NO DATA]

Congressional District of Recipient
02

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$65,043.00
b. Fringe Benefits	$18,880.00
c. Total Personnel Costs	$83,923.00
d. Equipment	$0.00
e. Supplies	$1,019.00
f. Travel	$12,961.00
g. Construction	$0.00
h. Other	$10,284.00
i. Contractual	$26,813.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002308	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002308-02-00
FAIN# NVF1CE002308
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

KANSAS COALITTION AGAINST SEXUAL & DOMESTIC VIOLENCE 5 NVF1CE002308-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 14, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Grant.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

Technical Review: Within 5 days of this Notice of Award's (NOA) issue date, the Technical Review will be accessible to the recipient in GrantSolutions Grant Notes. Contact the assigned Program Officer indicated in the NOA with any questions regarding this document or any follow up requirements and timelines set forth therein.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.

- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested, or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than July 31, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002312-01-00
FAIN# NVF1CE002312
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
VALORUS
1215 K St
Sacramento, CA 95814-3945

2. Congressional District of Recipient
07

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. David S. Lee
david@valor.us
916-446-2520

8. Authorized Official
Ms. Sandra Henriquez
sandra@calcasa.org
916-446-2520 ext 306

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Krizia Veguilla Rodriguez
Grants Management Specialist
tgu3@cdc.gov
404-638-7394

10.Program Official Contact Information
Dora Ducak
Program Officer
rsy9@cdc.gov
770.488.0024

Federal Award Information

11. Award Number
1 NVF1CE002312-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002312

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention by State Sexual Assault Coalition

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002312-01-00
FAIN# NVF1CE002312
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
VALORUS
1215 K St
Sacramento, CA 95814-3945

Congressional District of Recipient
07

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$47,027.00
b. Fringe Benefits	$15,596.00
c. Total Personnel Costs	$62,623.00
d. Equipment	$0.00
e. Supplies	$1,342.00
f. Travel	$3,441.00
g. Construction	$0.00
h. Other	$9,094.00
i. Contractual	$58,500.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002312	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002312-01-00
FAIN# NVF1CE002312
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 1 NVF1CE002312-01-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0068, entitled Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions, and application dated April 16, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.

- The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
- See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
  - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
  - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
  - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
  - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
  - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than July 30, 2024.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002312-02-00
FAIN# NVF1CE002312
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

2. Congressional District of Recipient
07

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. David S. Lee
david@valor.us
916-446-2520

8. Authorized Official
Ms. Sandra Henriquez
sandra@calcasa.org
916-446-2520 ext 306

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. Krizia Veguilla Rodriguez
Grants Management Specialist
tgu3@cdc.gov
404-638-7394

10.Program Official Contact Information
Dora Ducak
Program Officer
rsy9@cdc.gov
770.488.0024

Federal Award Information

11. Award Number
5 NVF1CE002312-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002312

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention by State Sexual Assault Coalition

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$135,000.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mrs. Rhonda Colbert
Grants Management Officer

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002312-02-00
FAIN# NVF1CE002312
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
VALORUS
1215 K St STE 1850
Sacramento, CA 95814-3948
[NO DATA]

Congressional District of Recipient
07

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$56,333.00
b. Fringe Benefits	$23,581.00
c. Total Personnel Costs	$79,914.00
d. Equipment	$0.00
e. Supplies	$1,420.00
f. Travel	$2,300.00
g. Construction	$0.00
h. Other	$10,366.00
i. Contractual	$41,000.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002312	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002312-02-00
FAIN# NVF1CE002312
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 5 NVF1CE002312-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 12, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 “Remarks” of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient’s authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs: Indirect costs are not approved for this award, because indirect costs were not requested or an approved Indirect Cost Rate Agreement has not been established. To have indirect costs approved for this grant, submit an approved indirect cost rate agreement to the grants management specialist no later than July 30, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NVF1CE002312-01-01
FAIN# NVF1CE002312
Federal Award Date: 12/17/2024

Recipient Information

1. Recipient Name
VALORUS
1215 K St
Sacramento, CA 95814-3945

2. Congressional District of Recipient
07

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. David S. Lee
david@valor.us
916-446-2520

8. Authorized Official
Ms. Sandra Henriquez
sandra@calcasa.org
916-446-2520 ext 306

Federal Agency Information
CDC Office of Financial Resources

9. Awarding Agency Contact Information
Thelma Jackson
Grants Management Specialist
koy8@cdc.gov
770-488-2823

10.Program Official Contact Information
Dora Ducak
Program Officer
rsy9@cdc.gov
770.488.0024

Federal Award Information

11. Award Number
6 NVF1CE002312-01-01

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002312

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention by State Sexual Assault Coalition

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Notification of a Contractor or Consultant

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$0.00
	20a. Direct Cost Amount	$0.00
	20b. Indirect Cost Amount	$0.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$135,000.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Notification of a Contractor - Approved

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 6 NVF1CE002312-01-01
FAIN# NVF1CE002312
Federal Award Date: 12/17/2024

Recipient Information

Recipient Name
VALORUS
1215 K St
Sacramento, CA 95814-3945

Congressional District of Recipient
07

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$47,027.00
b. Fringe Benefits	$15,596.00
c. Total Personnel Costs	$62,623.00
d. Equipment	$0.00
e. Supplies	$1,342.00
f. Travel	$3,441.00
g. Construction	$0.00
h. Other	$9,094.00
i. Contractual	$58,500.00
j. TOTAL DIRECT COSTS	$135,000.00
k. INDIRECT COSTS	$0.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002312	CE	410U	93.136	$0.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 6 NVF1CE002312-01-01
FAIN# NVF1CE002312
Federal Award Date: 12/17/2024

Direct Assistance

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

AWARD ATTACHMENTS

VALORUS 6 NVF1CE002312-01-01

1. Terms and Conditions Notification of a Contractor

ADDITIONAL TERMS AND CONDITIONS

Notification of Contractors: The purpose of this amended Notice of Award is to approve the Contractors below. This approval is in response to the request submitted by your organization dated December 11, 2024.

Contractor 1: Arboreta Group

Contractor 2: Pivot Advocacy

Contractor 3: Strategic Prevention Solutions

Contractor 4: Battered Women's Justice Project

Contractor 5: ACS Digital Media

All the other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed, in writing, by the Grants Management Officer.

Please be advised that recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, reasonable, and allocable.

PLEASE REFERENCE AWARD NUMBER ON ALL CORRESPONDENCE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002317-01-00
FAIN# NVF1CE002317
Federal Award Date: 07/01/2024

Recipient Information

1. Recipient Name
OREGON COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE, INC
9320 SW Barbur Blvd STE 250
Portland, OR 97219-5440

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. Gibson Thorn
Project Director
Gibson@ocadsv.org
503-230-1951 ex 111

8. Authorized Official
Ms. Vanessa Timmons
AOR
Timmons@ocadsv.org
503-230-1951

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Ms. LaKasa Wyatt
Grants Management Officer
lgw5@cdc.gov
770-488-2728

10.Program Official Contact Information
Kiwanda Mclemore
Program Officer
xrt4@cdc.gov
(770) 488-5086

Federal Award Information

11. Award Number
1 NVF1CE002317-01-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002317

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing Capacity for Sexual Violence Prevention Across State Coalitions

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
New

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2024 **- End Date** 06/29/2025	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,566.00
	20b. Indirect Cost Amount	$6,434.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$135,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Ms. Pamela Render
Grants Management Officer

30. Remarks

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 1 NVF1CE002317-01-00
FAIN# NVF1CE002317
Federal Award Date: 07/01/2024

Recipient Information

Recipient Name
OREGON COALITION AGAINST DOMESTIC
AND SEXUAL VIOLENCE, INC
9320 SW Barbur Blvd STE 250
Portland, OR 97219-5440

Congressional District of Recipient
01

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$74,813.00
b. Fringe Benefits	$17,695.00
c. Total Personnel Costs	$92,508.00
d. Equipment	$2,000.00
e. Supplies	$532.00
f. Travel	$6,448.00
g. Construction	$0.00
h. Other	$3,544.00
i. Contractual	$23,534.00
j. TOTAL DIRECT COSTS	$128,566.00
k. INDIRECT COSTS	$6,434.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
4-939ZSFL	24NVF1CE002317	CE	410U	93.136	$135,000.00	75-24-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 1 NVF1CE002317-01-00
FAIN# NVF1CE002317
Federal Award Date: 07/01/2024

Direct Assistance

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

AWARD ATTACHMENTS

OREGON COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE, INC	1 NVF1CE002317-01-00

1. OR Terms and Conditions 2024

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number CDC-RFA-CE-24-0068, entitled Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions, and application dated April 16, 2024, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

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

Deduction alternative: Under this alternative, program income is deducted from total allowable project/program costs to determine the net allowable costs on which the federal share of costs is based. This is similar to an applicable credit being applied to reduce the amount of the federal award.

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

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 393B of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services Block grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Indirect Costs:
The recipient's indirect costs are approved and based on a de minimis rate of ten (5) percent of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2024.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002317-02-00
FAIN# NVF1CE002317
Federal Award Date: 06/27/2025

Recipient Information

1. Recipient Name
OREGON COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE, INC
9320 SW Barbur Blvd STE 250
Portland, OR 97219-5440

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier (UEI)
[redacted]

7. Project Director or Principal Investigator
Mr. Gibson Thorn
Project Director
Gibson@ocadsv.org
503-230-1951 ex 111

8. Authorized Official
Ms. Vanessa Timmons
AOR
Timmons@ocadsv.org
503-230-1951

Federal Agency Information

CDC Office of Financial Resources

9. Awarding Agency Contact Information
Mrs. Rhonda Colbert
Grants Management Officer
hvx1@cdc.gov
770-488-2848

10.Program Official Contact Information
Kiwanda Mclemore
Program Officer
xrt4@cdc.gov
(770) 488-5086

Federal Award Information

11. Award Number
5 NVF1CE002317-02-00

12. Unique Federal Award Identification Number (FAIN)
NVF1CE002317

13. Statutory Authority
Section 393A(b) of the Public Health Service Act (42 USC 280b-1b(b))

14. Federal Award Project Title
Enhancing Capacity for Sexual Violence Prevention Across State Coalitions

15. Assistance Listing Number
93.136

16. Assistance Listing Program Title
Injury Prevention and Control Research and State and Community Based Programs

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information

19.	**Budget Period Start Date** 06/30/2025 **- End Date** 06/29/2026	
20.	**Total Amount of Federal Funds Obligated by this Action**	$135,000.00
	20a. Direct Cost Amount	$128,571.00
	20b. Indirect Cost Amount	$6,429.00
21.	Authorized Carryover	$0.00
22.	Offset	$0.00
23.	Total Amount of Federal Funds Obligated this budget period	$0.00
24.	**Total Approved Cost Sharing or Matching, where applicable**	$0.00
25.	**Total Federal and Non-Federal Approved this Budget Period**	$135,000.00
26.	**Period of Performance Start Date** 06/30/2024 **- End Date** 06/29/2028	
27.	Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance	$270,000.00

28. Authorized Treatment of Program Income
ADDITIONAL COSTS

29. Grants Management Officer – Signature
Mr. Arthur Lusby
Grants Management Officer, Team Lead

30. Remarks

Non-Competing Continuation: Financial Assistance in the amount of $135,000.00

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NVF1CE002317-02-00
FAIN# NVF1CE002317
Federal Award Date: 06/27/2025

Recipient Information

Recipient Name
OREGON COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE, INC
9320 SW Barbur Blvd STE 250
Portland, OR 97219-5440

Congressional District of Recipient
01

Payment Account Number and Type
[redacted]

Employer Identification Number (EIN) Data
[redacted]

Universal Numbering System (DUNS)
[redacted]

Recipient's Unique Entity Identifier (UEI)
[redacted]

31. Assistance Type
Project Grant

32. Type of Award
Other

33. Approved Budget
(Excludes Direct Assistance)

I. Financial Assistance from the Federal Awarding Agency Only
II. Total project costs including grant funds and all other financial participation

a. Salaries and Wages	$74,820.00
b. Fringe Benefits	$17,164.00
c. Total Personnel Costs	$91,984.00
d. Equipment	$0.00
e. Supplies	$2,318.00
f. Travel	$6,838.00
g. Construction	$0.00
h. Other	$3,837.00
i. Contractual	$23,594.00
j. TOTAL DIRECT COSTS	$128,571.00
k. INDIRECT COSTS	$6,429.00
l. TOTAL APPROVED BUDGET	$135,000.00
m. Federal Share	$135,000.00
n. Non-Federal Share	$0.00

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	ASSISTANCE LISTING	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
5-939ZSFL	24NVF1CE002317	CE	410U	93.136	$135,000.00	75-25-0952

DEPARTMENT OF HEALTH AND HUMAN SERVICES Notice of Award

Centers for Disease Control and Prevention

Award# 5 NVF1CE002317-02-00
FAIN# NVF1CE002317
Federal Award Date: 06/27/2025

Direct Assistance

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

AWARD ATTACHMENTS

OREGON COALITION AGAINST DOMESTIC AND SEXUAL VIOLENCE, INC	5 NVF1CE002317-02-00

1. Terms and Conditions

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/federal-regulations-policies/index.html, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **CDC-RFA-CE-24-0068**, entitled **Rape Prevention and Education: Enhancing Capacity for Sexual Violence Prevention Across State and Territory Sexual Assault Coalitions**, and application dated March 14, 2025, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NOA).

Total Approved Funding is included in Summary Federal Award Financial Information on page 1 of the NOA. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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.

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of carried over unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

Budget Revision Requirement: By **July 30, 2025** the recipient must submit a revised budget with a narrative justification regarding the administrative restrictions identified in the "Funding Restrictions and Limitations" section of this NoA. 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.

FUNDING RESTRICTIONS AND LIMITATIONS

Notice of Funding Opportunity (NOFO) Restrictions:

Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may not use funds for pre-award costs unless CDC gives you prior written approval.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may be used for:
    - Publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body.
    - The salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body.
    - See Guidance on Lobbying for CDC Recipients.

- Reimbursement of pre-award costs generally is not allowed unless the CDC provides written approval to the recipient.
- You must adhere to Congressional legislation (Section 3938 of the Public Health Service Act [42 U.S.C. 280b-1b). The legislation stipulates the following:
    - You may not use more than five percent of the amount received for each fiscal year for administrative expenses. This five percent limitation is in lieu of, and replaces, the indirect cost rate. You can still submit and use an IDC rate if after calculations the total IDC is no more than five percent of total received in the fiscal year.
    - You may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.
    - You must use amounts provided to you to supplement, and not supplant Preventive Health and Health Services 8lock grant, other federal, state, and local public funds expended to provide the activities described previously.
    - You may not use funds to provide direct counseling, treatment, or advocacy services to victims or perpetrators of sexual violence, except for hotlines.
    - You may not use funds for media or awareness campaigns that exclusively promote awareness of where to receive victim services.

Administrative Restrictions:

Personnel – The names of personnel are not identified on the budget. The recipient must u**pdate the budget to include the names of the personnel in the (1) Director of Prevention, (2) Executive Director, (3) Associate Director, and (4) Accounting Manager** positions. The revised budget must be submitted via GrantSolutions and GMO approval is provided via Notice of Award.

Supplies – The recipient must update the budget to remove the word, "**etc**." from the supply's justification of the budget narrative. Per the **CDC Office of Financial Resources Budget Preparation Guidelines,** all supplies must be individually listed for proper review and approval. The budget must be updated, prior to spending of funds. The revised budget must be submitted via GrantSolutions as an amendment and GMO approval is provided.

Missing Contractual Elements – Once determined, the recipient must submit a Notification of Contractor amendment for the TBD Evaluation contractor. The contract listed below is **not** approved and the recipient may not begin the contract until ***1-Period Performance, 2-Scope of work, 3-Itemized Budget and Justification, 4-Name of Contractor, 5-Method of Selection, and 6- Method of Accountability*****,** are provided via GrantSolutions as a Notification of Contractor amendment and GMO approval is provided via Notice of Award.

Consultant 1 - Grant Financial Consultation

Consultant 2 - Interpreter

Consultant 3 - Training Consultation

Consultant 4 - Evaluation Consultation

Indirect Costs: Although Oregon Coalition Against Domestic and Sexual Violence indirect costs are based on an approved de minimis rate of 15%, a lower rate of 5 percent is requested. The reduced indirect cost rate is approved, with a base of modified total direct costs (MTDC) as defined in 45 CFR Part 75.2, effective June 30, 2025.

PAYMENT INFORMATION

Payment Management System Subaccount: Funds awarded in support of approved activities have been obligated in a 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.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

CDC STAFF CONTACTS:

Grants Management Specialist (GMS): 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.

The GMS contact information is located on page 1, item #9.

Program/Project Officer (PO): 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.

The PO contact information is located on page 1, item #10.

Grants Management Officer (GMO): 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.

The GMO contact information is located on page 1, item #29.

From:	Baugh, Cynthia (HRSA)
To:	Suzich, Christopher (HRSA); Taylor, Erika (HRSA); King, Jamie (HRSA); Coppenbarger, Christopher (HRSA); HRSA OFAAM OAA Front Office
Subject:	Fw: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women
Date:	Friday, March 28, 2025 3:59:43 PM
Attachments:	Title IX Defending Women AT 2025-01 signed.pdf

Cynthia R. Baugh, MPA, CGFM
Associate Administrator
Office of Federal Assistance & Acquisition Management
U.S. Department of Health and Human Services
Health Resources and Services Administration
Mobile: 240-475-5339

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, March 28, 2025 3:55:43 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Chief Grants Management Officers,

The attached Action Transmittal requires you to add a new term and condition language in Notice of Awards (NoAs) for new awards for entities participating in, facilitating, or funding programs implicating Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq. Programs that could implicate Title IX include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-01

Issuance Date: March 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.03.28 15:39:45 -04'00'

SUBJECT: Department of Health and Human Services Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Executive Order 14168 Legal Requirements for Title IX Implicated Recipients of Federal Financial Assistance

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

It is the policy of the United States to recognize two sexes, male and female. This policy is reflected in Executive Order 14168 entitled Defending Women From Gender Ideology Extremism and Restoring Biological Truth in the Federal Government (January 20, 2025). It is also reflected in sex-protective laws found at Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq.

HHS is requiring awarding agencies to ensure financial assistance recipients are compliant with the requirements of these laws and Executive Order 14168.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

For all new awards, HHS awarding agencies must insert the below HHS-approved language in Notices of Award (NoAs) to entities that participate in, facilitate, or fund programs that implicate Title IX. Programs that could implicate Title IX would include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Required Notice of Award Term and Condition Language

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

Bryant, Sara (HRSA)

From: King, Jamie (HRSA)
Sent: Monday, March 31, 2025 1:29 PM
To: Baugh, Cynthia (HRSA); Suzich, Christopher (HRSA); Taylor, Erika (HRSA); Coppenbarger, Christopher (HRSA); HRSA OFAAM OAA Front Office; Santos, Marco (HRSA); Riggle, Jennifer (HRSA)
Cc: Hammond, Sarah (HRSA); Wilensky, Dvora (HRSA)
Subject: RE: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Good afternoon,

DGMO has added the required new term as provided in the action transmittal in the EHB library. The new term will automatically populate on all new type 1 awards as confirmed by DGP with our desk officer.

Please let me know if anything further needed.

Thanks,

James L. King
Acting Deputy Director, Division of Grants Management Operations
Office of Federal Assistance and Acquisition Management
Health Resources and Services Administration
U.S. Department of Health and Human Services
Phone: 301-443-1123

From: Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>
Sent: Friday, March 28, 2025 4:00 PM
To: Suzich, Christopher (HRSA) <CSuzich@hrsa.gov>; Taylor, Erika (HRSA) <ETaylor@hrsa.gov>; King, Jamie (HRSA) <JKing@hrsa.gov>; Coppenbarger, Christopher (HRSA) <CCoppenbarger@hrsa.gov>; HRSA OFAAM OAA Front Office <OFAAMOAAFrontOffice@hrsa.gov>
Subject: Fw: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Cynthia R. Baugh, MPA, CGFM
Associate Administrator
Office of Federal Assistance & Acquisition Management
U.S. Department of Health and Human Services
Health Resources and Services Administration
Mobile: 240-475-5339

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, March 28, 2025 3:55:43 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Chief Grants Management Officers,

The attached Action Transmittal requires you to add a new term and condition language in Notice of Awards (NoAs) for new awards for entities participating in, facilitating, or funding programs implicating Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq. Programs that could implicate Title IX include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

Bryant, Sara (HRSA)

From: Suzich, Christopher (HRSA)
Sent: Thursday, April 17, 2025 5:13 PM
To: Cope, Jenna (HRSA); Smith, Lakisha (HRSA); Foster Wright, Karen (HRSA); Johnson, Anitra (HRSA); Baugh, Cynthia (HRSA); Coppenbarger, Christopher (HRSA); Buckner, Darren (HRSA); Bryant, Sara (HRSA); Hux, Victoria (HRSA); Shockey, Olivia (HRSA); Clift, Erica (HRSA); Bowers, Tonya (HRSA); Stack, Suzanne (HRSA); Berrian, Amber (HRSA); Proctor, Gwendolyn (HRSA); Germain, Mesmin (HRSA); Fomegne, Elizabeth (HRSA); McNeely, Michael (HRSA); Klein, Sarah (HRSA); Sharma, Anuradha (HRSA); Panguluri, Srinivas (HRSA); Williams, Melissa (HRSA); DeVol, Lauren (HRSA); Jackson, Rhonda (HRSA); Meiklejohn, Amy (HRSA); Snyder, John (HRSA); Riggle, Jennifer (HRSA); Bryan, Julia (HRSA); Harris, Shereese (HRSA); Willie, James (HRSA); Seaton, Sandy (HRSA); Santos, Marco (HRSA); Taylor, Erika (HRSA); VonFeck, Stephanie (HRSA); Rowan, Alexander (Alex) (HRSA)
Cc: Wildberger, William (HRSA); Ligon, Ericka (HRSA); Keita, Lynda (HRSA); HRSA OFAM DGP; Phi, KieuMy (HRSA); Gillespie, Stephanie (HRSA); Carper, Victoria (HRSA); Gray, Darryl (HRSA); Patterson, Katherine (HRSA); Reddi, Prianca (HRSA); Beckham, Karen (HRSA); Pascu, Mark (HRSA); Purvis, Shivani (HRSA); Jones, Matthew (HRSA); Fryar, Maya (HRSA); Sutton, Virginia (HRSA); Wilensky, Dvora (HRSA); Worley, Tracy (HRSA); Duah-Agyemang, Anthony (HRSA); Milton, Denice (HRSA); Blackmon, Christopher (HRSA); Johnson, Gwendolyn (HRSA); Hutchings, Allison (HRSA); Gramley, Beatriz (HRSA); Naik, Arjun (HRSA); King, Jamie (HRSA); Blalock, Jene (HRSA); Reyes, Melissa (HRSA); Sutton, Virginia (HRSA); Hardy, Norma (HRSA)
Subject: FAC Notice, Action Transmittal 2025-02, GPS Update effective April 16, 2025
Attachments: FAC Notice - HHS AT 2025-02- GPS updates.docx

Please see below. Same message attached.
Distribute throughout your B/O to staff, as you deem appropriate.
Apologies for including any names of staff no longer with HRSA.

HHS Action Transmittal on Grant Policy Statement (GPS) Updates

HHS Action Transmittal 2025-02 notifies HHS agencies of an update to the HHS GPS. It identifies a new term of award in the section titled "Civil Rights Assurance". Agencies are instructed to apply the following condition:

> Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).
>
> (1) Definitions. As used in this clause –
>
> (a) DEI means "diversity, equity, and inclusion."
>
> (b) DEIA means "diversity, equity, inclusion, and accessibility."
>
> (c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.
>
> (d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.
>
> (e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.
>
> (2) Grant award certification.
>
> (a) By accepting the grant award, recipients are certifying that:

(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and

(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.

(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.

The new term applies prospectively for new awards and is effective immediately.
Please contact DGP if you have questions.

OFAAM shares HHS Action Transmittal on Grant Policy Statement (GPS) Updates

HHS Action Transmittal 2025-02 notifies HHS agencies of an update to the HHS GPS. It identifies a new term of award in the section titled "Civil Rights Assurance". Agencies are instructed to apply the following condition:

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>
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>
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>
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>
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>
> (e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.
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>
> (ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.
>
> (3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.

The new term applies prospectively for new awards and is effective immediately.

Please contact DGP if you have questions.

May 14, 2025

FY 2025 HRSA General Terms and Conditions

These terms and conditions apply to all active awards.

1. Administrative Requirements

You must comply with the laws, policies, and terms and conditions included in your Notice of Award (NOA).

This includes:

- requirements of the authorizing statutes and implementing regulations for the programs under which your award is funded
- appropriations acts provisions
- terms and conditions included in the HHS Grants Policy Statement (HHS GPS), which HHS revised with an effective date of January 31, 2025.This includes the requirements of applicable HHS regulations, 45 CFR 75, and portions of 2 CFR Part 200. The HHS GPS applies to monetary actions only, including non-competing continuations.
- the HHS Administrative and National Policy Requirements (Appendix D of the HHS GPS), revised to include new language about environmental requirements and research involving potential procurement of synthetic nucleic acids.
- requirements included in the Notice of Funding Opportunity (NOFO); and
- policies specific to the award.

In case of conflicting or inconsistent requirements, follow the order of precedence indicated in HHS Administrative and National Policy Requirements. This document provides statutory, regulatory, and executive requirements that apply to HHS awards.

We may list exceptions to individual requirements stated above in the NOA.

Use of the terms “federal award,” “award,” and “grant” refers collectively to federal assistance awards, grants, and cooperative agreements, unless otherwise indicated.

Additionally, SAM.gov and Unique Entity Identifier (UEI) registration is required throughout the lifecycle of all HRSA awards.

a. Funding Contingency

Funding beyond this budget period is contingent upon the availability of appropriated funds for this program, recipient satisfactory performance, program authority, compliance with the Terms and Conditions of the award, and a decision that continued funding is in the best interest of the Federal government.

This award action is based on HRSA’s approval of the recipient’s application and any modifications at the time of this award. Continued support for this award may be subject to other programmatic considerations to the extent permitted by law, including, but not limited to, Administration priorities and court orders.

Should additional federal funds not be available and/or shifting priorities affect the programmatic objectives of this award, the recipient will work with HRSA to revise any workplan tasks and budget in accordance with 45 CFR 75.308 (Revision of budget and program plans) or any successor regulations that apply to the award.

b. HRSA Adoption of 2 CFR 200

On Oct. 2, 2024, HHS published the Interim Final Rule explaining the department's phased approach for adopting 2 CFR part 200.

HRSA awards are subject to the requirements in 45 CFR part 75, except as amended by the following provisions of 2 CFR part 200:

2 CFR 200 Citation	Replaces 45 CFR 75 Citation	New Threshold
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*	$50,000
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*	$10,000
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies	$10,000
2 CFR § 200.320. Procurement Methods (Micro-purchase threshold[1])	45 CFR § 75.329. Procurement Procedures (Micro-purchase threshold)	$50,000
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards	$500,000
2 CFR § 200.344. Closeout[2]	45 CFR § 75.381. Closeout	
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, (f)	15%
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements	$1,000,000

c. Subrecipients and Recipients (Pass-Through Entities) Responsibilities

The recipient is the entity that receives a federal award directly from HRSA.

The recipient can give a portion of the direct award to other organizations, called subrecipients, to accomplish the goals and objectives of the award.

In this case, the recipient becomes a pass-through entity and the subrecipient's award is called a subaward.

As a recipient, you must ensure the applicable general terms and conditions stated in this document flow down to subrecipients. See HHS Administrative and National Policy Requirements.

d. Prior Approval

You must get prior approval for certain items, as stated in 45 CFR § 75.308 and § 75.407. This includes significant rebudgeting of project costs.

- Significant budget changes require prior approval when they constitute a change of scope or exceed 25 percent of total costs or $250,000, whichever is less, of the most recent approved award (budget period). Prior approval will also be required when rebudgeting includes

[1] This provision was adopted on December 12, 2017 under Public Law 115-91 and OMB Memorandum 18-18

[2] This provision was adopted on September 15, 2023 under 88 FR 63591

funding into a direct cost category not previously requested. If you are not sure your budget change is beyond the scope, contact your Grants Management Specialist (GMS).

- We do not automatically authorize prior approvals under 45 CFR § 75.308(d):
  - We do not waive cost-related or administrative prior approvals unless specifically stated in your NOA. You must submit these as a Prior Approval action via HRSA Electronic Handbooks (EHBs).
  - Only responses to prior approval requests signed by the Grants Management Officer (GMO) are valid.

If you act based on responses from other officials, you do so at your own risk. We do not consider these responses binding.

e. Funding Restrictions

See your NOA, HHS Administrative and National Policy Requirements, and HRSA Legislative Mandates for funding restrictions, such as:

- Salary Cap (also see Salary Rate Limitation)
- Gun control
- Anti-lobbying
- Restrictions on abortion
- Ban on funding embryo research
- Limitation on use of funds for promotion of legalization of controlled substances
- Restriction of pornography on computer networks
- Restriction on the purchase of sterile needles
- Prohibition on certain telecommunications and video surveillance services or equipment.

f. Roles and Responsibilities.

To see the roles and responsibilities of the GMS and the Program Official (PO) for your award, visit Manage Your Grant - Administrative Management.

g. Cybersecurity

You need to follow specific cybersecurity guidelines if you access HHS systems or handle personally identifiable information (PII) or personal health information (PHI).

These include requirements such as:

- Creating a cybersecurity plan.
- Limiting access and training your staff on cybersecurity and privacy.
- Using multi-factor authentication and antivirus software.
- Routinely backing up data.
- Creating incident response plans and reporting any cybersecurity incidents to HHS.

For full details, see the Framework, the Cybersecurity Act of 2015 at 6 USC § 1533(d), and HHS Guidance.

h. Condition for Research Awards that Involve Procurement of Synthetic Nucleid Acids or Benchtop Synthesizers

Beginning April 26, 2025, HHS funds may only be used to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment from sources adhering to the Office of Science and Technology Policy Framework for Nucleid Acid Synthesis Screening.

HHS awardees are expected to adhere to the Office of Science and Technology Policy Framework for Nucleid Acid Synthesis Screening for HHS projects.

i. Title IX Certification

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipients, whose programs, are covered by Title IX certify as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

2. Policy Requirements

The HHS Administrative and National Policy Requirements provide a list of requirements applicable to HHS awards:

a. Conflict of Interest

See HRSA Federal Financial Assistance Conflict of Interest Policy (COI Policy)

3. Financial Requirements

a. Salary rate limitation (SRL)

See our Salary Cap Summary Table for the latest salary rate limitation.

The HHS salary rate limitation applies to both direct and indirect costs for all applicable HHS awards.

b. Indirect Costs

When HHS is the Federal Cognizant Agency or when HHS is acting as the shared-service provider for another Federal Cognizant Agency, HHS will issue [Negotiated Indirect Cost Agreements] (NICRAs) that incorporate the HHS SRL, to comply with HHS Appropriations Act requirement.

If you do not have an approved indirect cost rate that complies with the HHS SRL requirement, you must take and document the following actions:

- Identify all HHS awards where HHS funds are used to pay any salary that exceeds the SRL. This includes both direct and indirect costs, both in whole and any portion of a salary that at a full-time equivalent exceeds the SRL.

- Have written policies and procedures that ensure you do not draw HHS award funds, direct or indirect, to pay salaries above the HHS SRL.

c. Payments

Grant funds must be drawn and Federal Financial Reports (FFR) filed using the HHS Payment Management System (PMS).

The Division of Payment Management, Financial Management Services, Program Support Center, manages PMS and has instructions for obtaining payments.

Submit direct inquiries about payments:
ONE-DHHS Help Desk for PMS Support at 1-877-614-5533 or PMSSupport@psc.hhs.gov.

If you do not have access, complete a PMS Access Form (PMS/FFR Form). If you have any questions about accessing PMS, contact the PMS Liaison Accountant.

d. Program income

HRSA awards use the additive method for program income earned from your award.

4. Reporting Requirements

Review your NOA, HHS Administrative and National Policy Requirements, and HRSA Manage Your Grant for required reports and method of submission.

a. General Reports may include:

- Federal Financial Reports (FFR)
- Noncompeting Continuation (NCC) Progress Reports
- Tangible Personal Property Report (SF-428) for Equipment and Supplies
- Real Property Report (SF-429)
- Subaward Reporting under the Federal Funding Accountability and Transparency Act (FFATA) reporting at sam.gov
- Recipient integrity and performance

b. Audit Reports

- If your organization is not a for-profit organization and is required to have audits in accordance with 45 CFR part 75, Subpart F (See 2 CFR § 200.501) because it spends $1,000,000 or more in federal funds in one fiscal year, submit the audit reports to the **Federal Audit Clearinghouse.**
- Commercial organizations required to have audits should submit the audit reports directly to HRSA.

c. Reporting Fraud, Waste, Abuse, and Mismanagement

- The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800- HHS-TIPS [1-800-447-8477]; TTY: 1-800-377-4950) and website for receiving information concerning fraud, waste, abuse, and mismanagement under HHS programs.

Additionally, information may be submitted 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. You can decline to give your name if you choose to remain anonymous.

5. Termination

a. Circumstances

HRSA or the pass-through entity may terminate this award under any of the following circumstances, per 45 CFR § 75.372:

- If your organization fails to comply with the terms and conditions of the award
- For cause
- With your consent, in which case you and HRSA must agree on the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated
- By you, upon sending HRSA or the pass-through entity a written notification setting forth the reasons for termination, the effective date, and, in the case of partial termination, the portion to be terminated.

However, if HRSA or the pass-through entity determines, in the case of partial termination, that the reduced or modified portion of the award or subaward will not accomplish the purposes for which the award was made, HRSA or the pass-through entity may terminate the federal award.

b. Appeal

HRSA affords appeal rights for remedies for non-compliance, including termination.

See 45 CFR § 75.374 for opportunities to object, hearings, and appeals.

Bryant, Sara (HRSA)

From: Baugh, Cynthia (HRSA)
Sent: Wednesday, May 28, 2025 5:16 PM
To: HRSA OFAAM Senior Staff; Wilensky, Dvora (HRSA); VonFeck, Stephanie (HRSA); Sutton, Virginia (HRSA)
Subject: Fw: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)
Attachments: OG AT 2025-03 Rescinded AT 2025-02_ db.pdf

Hello, I will role out to B/Os tomorrow.

Cynthia R. Baugh, MPA, CGFM
Associate Administrator
Office of Federal Assistance & Acquisition Management
U.S. Department of Health and Human Services
Health Resources and Services Administration
Mobile: 240-475-5339

From: Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>
Sent: Wednesday, May 28, 2025 4:49:29 PM
To: Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>; Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>; Braxton, Makoto (ASPR/ADMIN) <Makoto.Braxton@hhs.gov>; Brookins, Marsha (IHS/HQ) <Marsha.Brookins@ihs.gov>; Bryant, Benjamin (ARPA-H) <benjamin.bryant@arpa-h.gov>; Bulls, Michelle (NIH/OD) [E] <michelle.bulls@nih.gov>; Chandler, Tanielle (ACL) <Tanielle.Chandler@acl.hhs.gov>; Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>; Cooper, Renee (HHS/ASFR) <Renee.Cooper@hhs.gov>; Crowley, Alexis L (OIG/OMP) <Alexis.Crowley@oig.hhs.gov>; Genovese, Alissa (HHS/ASFR) <Alissa.Genovese@hhs.gov>; Ghosh, Sudevi (CDC/OGC) <ggq4@cdc.gov>; Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>; Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>; Hakimian, Rina (HHS/OGC) <rina.hakimian@hhs.gov>; Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>; Lorenzo, Felix (HHS/ASFR) <Felix.Lorenzo@hhs.gov>; Nestor, Johanna (HHS/ASFR) <Johanna.Nestor@hhs.gov>; Pendleton, Kimberly (FDA/OC) <Kimberly.Pendleton@fda.hhs.gov>; Tilford, Kevin (HHS/ASFR) <Kevin.Tilford@hhs.gov>; Tucker, Avery (HHS/ASFR) <Avery.Tucker@hhs.gov>; Vollmer, Jason (CMS/OAGM) <Jason.Vollmer@cms.hhs.gov>; West, Eric (HHS/OASH) <Eric.West@hhs.gov>; Wilburg, Seon (OS/ASTP) <Seon.Wilburg@hhs.gov>; Xu, Tanya (HHS/OGC) <Tanya.Xu@hhs.gov>; Young, Steven W. (AHRQ/OMS) <Steven.Young@AHRQ.hhs.gov>; Ta, Kristin (NIH/OD) [E] <kristin.ta@nih.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)

Chief Grants Management Officers,
Effectively immediately OG rescinds Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. We are awaiting further Federal-wide guidance prior to updating the Grants Policy Statement (GPS).

For now, you do not need to take the actions described in AT 2025-02 to apply the award term therein to HHS award actions.

Please let us know if you have any questions.

Chad T. Clifford
Executive Director, DPOET – Office of Grants
Office of the Secretary - ASFR
U.S. Dept. of Health & Human Services
Phone: 202-360-7318

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-03

Issuance Date: May 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.05.28 15:26:59 -04'00'

SUBJECT: Action Transmittal 2025-02, *Department of Health and Human Services Grants Policy Statement (GPS) Update*, is rescinded until an updated term is issued.

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

Internal Only

Bryant, Sara (HRSA)

From: Baugh, Cynthia (HRSA)
Sent: Thursday, May 29, 2025 7:50 AM
To: HRSA OFAAM Senior Staff
Cc: Sutton, Virginia (HRSA)
Subject: FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)
Attachments: OG AT 2025-03 Rescinded AT 2025-02_ db.pdf; Action Transmittal_GPS Update 2025-02.pdf

FYSA

From: HRSA OFAAM OAA Front Office
Sent: Thursday, May 29, 2025 6:45 AM
To: John, Hanock (HRSA) <HJohn@hrsa.gov>; Nair, Suma (HRSA) <SNair1@hrsa.gov>; Ali, Israil (HRSA) <IAli@hrsa.gov>; Anaedozie, Onyekachukwu (HRSA) <OAnaedozie@hrsa.gov>; Bowers, Tonya (HRSA) <TBowers@hrsa.gov>; Chen, Candice (HRSA) <CChen@hrsa.gov>; Takash, Andrea (HRSA) <ATakash@hrsa.gov>; Cohen, Monique (HRSA) <MCohen@hrsa.gov>; Dempsey, Antigone (HRSA) <ADempsey@hrsa.gov>; Dimeris, Heather (HRSA) <HDimeris@hrsa.gov>; DeVoss, Elizabeth (HRSA) <EDeVoss@hrsa.gov>; Downs, Tanette (HRSA) <TDowns@hrsa.gov>; Faria, Aisha (HRSA) <AFaria@hrsa.gov>; Scott, Wakina (HRSA) <WScott@hrsa.gov>; Heppner, Eliza (HRSA) <EHeppner@hrsa.gov>; Heppner, Sarah (HRSA) <sheppner@hrsa.gov>; Morris, Tom (HRSA) <TMorris@hrsa.gov>; Kavanagh, Laura (HRSA) <LKavanagh@hrsa.gov>; Ali, Israil (HRSA) <IAli@hrsa.gov>; Huttinger, Alexandra (HRSA) <AHuttinger@hrsa.gov>; Rowan, Alexander (Alex) (HRSA) <ARowan@hrsa.gov>; Meyerholz, Sarah (HRSA) <SMeyerholz@hrsa.gov>; McBride, Maren (HRSA) <MMcBride@hrsa.gov>; Robleto, Melissa (HRSA) <MRobleto@hrsa.gov>; Hauck, Heather (HRSA) <HHauck@hrsa.gov>; Sheehy, Ann (HRSA) <ASheehy@hrsa.gov>; Meyerholz, Sarah (HRSA) <SMeyerholz@hrsa.gov>; Engels, Thomas (HRSA) <TEngels@hrsa.gov>; Wall, Holly (HRSA) <HWall@hrsa.gov>; Bush, Margaret (HRSA) <MBush@hrsa.gov>; Smith, Travis (HRSA) <TSmith5@hrsa.gov>; Macrae, Jim (HRSA) <JMacrae@hrsa.gov>; Anaedozie, Onyekachukwu (HRSA) <OAnaedozie@hrsa.gov>
Cc: Coppenbarger, Christopher (HRSA) <CCoppenbarger@hrsa.gov>; King, Jamie (HRSA) <JKing@hrsa.gov>; Suzich, Christopher (HRSA) <CSuzich@hrsa.gov>; Davis, William (HRSA) <WDavis@hrsa.gov>; Hammond, Sarah (HRSA) <SHammond@hrsa.gov>
Subject: FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)

Greeting,

Attached is the original action transmittal and the notice to rescind the Action Transmittal (AT 2025-02) around “DEI language”. OFAAM will work to the address this matter.

No action is needed from the HRSA B/O’s. We will keep you updated as additional information becomes available from the Department.

Cynthia R. Baugh, MPA, CGFM
Associate Administrator
Office of Federal Assistance & Acquisition Management
U.S. Department of Health and Human Services
Health Resources and Services Administration
Mobile: 240-475-5339

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-03

Issuance Date: May 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.05.28 15:26:59 -04'00'

SUBJECT: Action Transmittal 2025-02, *Department of Health and Human Services Grants Policy Statement (GPS) Update*, is rescinded until an updated term is issued.

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

Internal Only

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> *(a) DEI means "diversity, equity, and inclusion."*
>
> *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
>
> *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
>
> *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
>
> *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
>
> *(2) Grant award certification.*
>
> *(a) By accepting the grant award, recipients are certifying that:*
>
> *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
>
> *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
>
> *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

Bryant, Sara (HRSA)

From: Baugh, Cynthia (HRSA)
Sent: Friday, July 25, 2025 1:03 PM
To: HRSA OFAAM Senior Staff
Subject: FW: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification
Attachments: Antidiscrimination Compliance Certification AT 2025-05.pdf

Importance: High

Hot action!

Cynthia R. Baugh, MPA, CGFM
Associate Administrator
Office of Federal Assistance & Acquisition Management
U.S. Department of Health and Human Services
Health Resources and Services Administration
Mobile: 240-475-5339

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, July 25, 2025 12:46 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification
Importance: High

Chief Grants Management Officers,

On May 28th, the Office of Grants rescinded Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. Today, July 24, 2025, the Grants Policy Statement (GPS) was updated to reflect the below revised language regarding compliance with all federal antidiscrimination laws. Moving forward, HHS awarding agencies must include the below HHS-approved term in all Notices of Award (NoAs) and clearly state the term in Notices of Funding Opportunity (NOFOs).

> ***Required Notice of Award Term and Condition Language***
>
> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

See the attached associated Action Transmittal. Please contact your Desk Officer if you have any questions, or anyone in OG. Thank you,

-Dale

Dale Bell | Deputy Assistant Secretary

HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| dale.bell@hhs.gov

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-05

Issuance Date: July 24, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

WILLIAM D. BELL IV -S Digitally signed by WILLIAM D. BELL IV -S Date: 2025.07.25 11:36:10 -04'00'

SUBJECT: Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

ACTION:

HHS awarding agencies must insert the below HHS-approved language as a term and condition in all Notices of Award (NoAs) and clearly state this term in Notices of Funding Opportunity (NOFOs):

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Internal Only

From:	Baugh, Cynthia (HRSA)
To:	Chen, Candice (HRSA); Ali, Israil (HRSA); Kavanagh, Laura (HRSA); Heppner, Eliza (HRSA); Heppner, Sarah (HRSA); Morris, Tom (HRSA); Macrae, Jim (HRSA); Bowers, Tonya (HRSA); Pedley, Krista (HRSA); Anaedozie, Onyekachukwu (HRSA); Dimeris, Heather (HRSA); Scott, Wakina (HRSA); John, Hanock (HRSA); Nair, Suma (HRSA)
Cc:	DeVoss, Elizabeth (HRSA); Sheehy, Ann (HRSA); Meyerholz, Sarah (HRSA); McBride, Maren (HRSA); Meyerholz, Sarah (HRSA); Wilkes, Ashley (HRSA); Hoff, Joanne (HRSA); Rowan, Alexander (Alex) (HRSA); Engels, Thomas (HRSA); Robleto, Melissa (HRSA); Hauck, Heather (HRSA); Dempsey, Antigone (HRSA); Coppenbarger, Christopher (HRSA); Taylor, Erika (HRSA); Suzich, Christopher (HRSA); King, Jamie (HRSA); Riggle, Jennifer (HRSA); Gramley, Beatriz (HRSA); Davis, William (HRSA); Cobbs, Kanitra (HRSA); King, Aisha (HRSA); Roche, Lori (HRSA); Hammond, Sarah (HRSA); Buckner, Darren (HRSA); HRSA OFAAM OAA Front Office; Santos, Marco (HRSA); Bush, Margaret (HRSA); Smith, Travis (HRSA); Wall, Holly (HRSA)
Subject:	EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification
Date:	Friday, July 25, 2025 2:16:54 PM

FYSA-

On July 24, 2025, the Grants Policy Statement (GPS) was updated to reflect the below revised language regarding compliance with all federal antidiscrimination laws. Moving forward, HHS awarding agencies must include the below HHS-approved term in all Notices of Award (NoAs) and clearly state the term in Notices of Funding Opportunity (NOFOs).

> *Required Notice of Award Term and Condition Language*
>
> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

Please reach out to *DGP@hrsa.gov* if you have any questions.

Cynthia R. Baugh, MPA, CGFM
Associate Administrator
Office of Federal Assistance & Acquisition Management
U.S. Department of Health and Human Services
Health Resources and Services Administration
Mobile: 240-475-5339

July 25, 2025

FY 2025 HRSA General Terms and Conditions

These terms and conditions apply to all active awards.

1. Administrative Requirements

You must comply with the laws, policies, and terms and conditions included in your Notice of Award (NOA).

This includes:

- requirements of the authorizing statutes and implementing regulations for the programs under which your award is funded
- appropriations acts provisions
- terms and conditions included in the HHS Grants Policy Statement (HHS GPS), which HHS revised with an effective date of January 31, 2025.This includes the requirements of applicable HHS regulations, 45 CFR 75, and portions of 2 CFR Part 200. The HHS GPS applies to monetary actions only, including non-competing continuations.
- the HHS Administrative and National Policy Requirements (Appendix D of the HHS GPS), revised to include new language about environmental requirements and research involving potential procurement of synthetic nucleic acids.
- requirements included in the Notice of Funding Opportunity (NOFO); and
- policies specific to the award.

In case of conflicting or inconsistent requirements, follow the order of precedence indicated in HHS Administrative and National Policy Requirements. This document provides statutory, regulatory, and executive requirements that apply to HHS awards.

We may list exceptions to individual requirements stated above in the NOA.

Use of the terms “federal award,” “award,” and “grant” refers collectively to federal assistance awards, grants, and cooperative agreements, unless otherwise indicated.

Additionally, SAM.gov and Unique Entity Identifier (UEI) registration is required throughout the lifecycle of all HRSA awards.

a. Funding Contingency

Funding beyond this budget period is contingent upon the availability of appropriated funds for this program, recipient satisfactory performance, program authority, compliance with the Terms and Conditions of the award, and a decision that continued funding is in the best interest of the Federal government.

This award action is based on HRSA’s approval of the recipient’s application and any modifications at the time of this award. Continued support for this award may be subject to other programmatic considerations to the extent permitted by law, including, but not limited to, Administration priorities and court orders.

Should additional federal funds not be available and/or shifting priorities affect the programmatic objectives of this award, the recipient will work with HRSA to revise any workplan tasks and budget in accordance with 45 CFR 75.308 (Revision of budget and program plans) or any successor regulations that apply to the award.

b. HRSA Adoption of 2 CFR 200

On Oct. 2, 2024, HHS published the Interim Final Rule explaining the department's phased approach for adopting 2 CFR part 200.

HRSA awards are subject to the requirements in 45 CFR part 75, except as amended by the following provisions of 2 CFR part 200:

2 CFR 200 Citation	Replaces 45 CFR 75 Citation	New Threshold
2 CFR § 200.1. Definitions, *"Modified Total Direct Cost"*	45 CFR § 75.2. Definitions, *"Modified Total Direct Cost"*	$50,000
2 CFR § 200.313(e). Equipment, *Disposition*	45 CFR § 75.320(e). Equipment, *Disposition*	$10,000
2 CFR § 200.314(a). Supplies	45 CFR § 75.321(a). Supplies	$10,000
2 CFR § 200.320. Procurement Methods (Micro-purchase threshold[1])	45 CFR § 75.329. Procurement Procedures (Micro-purchase threshold)	$50,000
2 CFR § 200.333. Fixed amount subawards	45 CFR § 75.353. Fixed amount subawards	$500,000
2 CFR § 200.344. Closeout[2]	45 CFR § 75.381. Closeout	
2 CFR § 200.414(f). Indirect costs, *De Minimis Rate*	45 CFR § 75.414(f). Indirect (F&A) costs, (f)	15%
2 CFR § 200.501. Audit requirements	45 CFR § 75.501. Audit requirements	$1,000,000

c. Subrecipients and Recipients (Pass-Through Entities) Responsibilities

The recipient is the entity that receives a federal award directly from HRSA.

The recipient can give a portion of the direct award to other organizations, called subrecipients, to accomplish the goals and objectives of the award.

In this case, the recipient becomes a pass-through entity and the subrecipient's award is called a subaward.

As a recipient, you must ensure the applicable general terms and conditions stated in this document flow down to subrecipients. See HHS Administrative and National Policy Requirements.

d. Prior Approval

You must get prior approval for certain items, as stated in 45 CFR § 75.308 and § 75.407. This includes significant rebudgeting of project costs.

- Significant budget changes require prior approval when they constitute a change of scope or exceed 25 percent of total costs or $250,000, whichever is less, of the most recent approved award (budget period). Prior approval will also be required when rebudgeting includes funding into a direct cost category not previously requested. If you are not sure your budget change is beyond the scope, contact your Grants Management Specialist (GMS).

[1] This provision was adopted on December 12, 2017 under Public Law 115-91 and OMB Memorandum 18-18

[2] This provision was adopted on September 15, 2023 under 88 FR 63591

- We do not automatically authorize prior approvals under 45 CFR § 75.308(d):
  - We do not waive cost-related or administrative prior approvals unless specifically stated in your NOA. You must submit these as a Prior Approval action via HRSA Electronic Handbooks (EHBs).
  - Only responses to prior approval requests signed by the Grants Management Officer (GMO) are valid.

If you act based on responses from other officials, you do so at your own risk. We do not consider these responses binding.

e. Funding Restrictions

See your NOA, HHS Administrative and National Policy Requirements, and HRSA Legislative Mandates for funding restrictions, such as:

- Salary Cap (also see Salary Rate Limitation)
- Gun control
- Anti-lobbying
- Restrictions on abortion
- Ban on funding embryo research
- Limitation on use of funds for promotion of legalization of controlled substances
- Restriction of pornography on computer networks
- Restriction on the purchase of sterile needles
- Prohibition on certain telecommunications and video surveillance services or equipment.

f. Roles and Responsibilities.

To see the roles and responsibilities of the GMS and the Program Official (PO) for your award, visit Manage Your Grant - Administrative Management.

g. Cybersecurity

You need to follow specific cybersecurity guidelines if you access HHS systems or handle personally identifiable information (PII) or personal health information (PHI).

These include requirements such as:

- Creating a cybersecurity plan.
- Limiting access and training your staff on cybersecurity and privacy.
- Using multi-factor authentication and antivirus software.
- Routinely backing up data.
- Creating incident response plans and reporting any cybersecurity incidents to HHS.

For full details, see the Framework, the Cybersecurity Act of 2015 at 6 USC § 1533(d), and HHS Guidance.

h. Condition for Research Awards that Involve Procurement of Synthetic Nucleid Acids or Benchtop Synthesizers

Beginning April 26, 2025, HHS funds may only be used to procure synthetic nucleic acids or benchtop nucleic acid synthesis equipment from sources adhering to the Office of Science and Technology Policy Framework for Nucleid Acid Synthesis Screening.

HHS awardees are expected to adhere to the Office of Science and Technology Policy Framework for Nucleid Acid Synthesis Screening for HHS projects.

i.. **Title IX Certification**

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipients, whose programs, are covered by Title IX certify as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

j. Antidiscrimination Laws and Requirements Compliance Certification

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

2. Policy Requirements

The HHS Administrative and National Policy Requirements provide a list of requirements applicable to HHS awards:

a. Conflict of Interest

See HRSA Federal Financial Assistance Conflict of Interest Policy (COI Policy)

3. Financial Requirements

a. Salary rate limitation (SRL)

See our Salary Cap Summary Table for the latest salary rate limitation.

The HHS salary rate limitation applies to both direct and indirect costs for all applicable HHS awards.

b. Indirect Costs

When HHS is the Federal Cognizant Agency or when HHS is acting as the shared-service provider for another Federal Cognizant Agency, HHS will issue [Negotiated Indirect Cost Agreements] (NICRAs) that incorporate the HHS SRL, to comply with HHS Appropriations Act requirement.

If you do not have an approved indirect cost rate that complies with the HHS SRL requirement, you must take and document the following actions:

- Identify all HHS awards where HHS funds are used to pay any salary that exceeds the SRL. This includes both direct and indirect costs, both in whole and any portion of a salary that at a full-time equivalent exceeds the SRL.
- Have written policies and procedures that ensure you do not draw HHS award funds, direct or indirect, to pay salaries above the HHS SRL.

c. Payments

Grant funds must be drawn and Federal Financial Reports (FFR) filed using the HHS Payment Management System (PMS).

The Division of Payment Management, Financial Management Services, Program Support Center, manages PMS and has instructions for obtaining payments.

Submit direct inquiries about payments:
ONE-DHHS Help Desk for PMS Support at 1-877-614-5533 or PMSSupport@psc.hhs.gov.

If you do not have access, complete a PMS Access Form (PMS/FFR Form). If you have any questions about accessing PMS, contact the PMS Liaison Accountant.

d. Program income

HRSA awards use the additive method for program income earned from your award.

4. Reporting Requirements

Review your NOA, HHS Administrative and National Policy Requirements, and HRSA Manage Your Grant for required reports and method of submission.

a. General Reports may include:

- Federal Financial Reports (FFR)
- Noncompeting Continuation (NCC) Progress Reports
- Tangible Personal Property Report (SF-428) for Equipment and Supplies
- Real Property Report (SF-429)
- Subaward Reporting under the Federal Funding Accountability and Transparency Act (FFATA) reporting at sam.gov
- Recipient integrity and performance

b. Audit Reports

- If your organization is not a for-profit organization and is required to have audits in accordance with 45 CFR part 75, Subpart F (See 2 CFR § 200.501) because it spends $1,000,000 or more in federal funds in one fiscal year, submit the audit reports to the **Federal Audit Clearinghouse.**
- Commercial organizations required to have audits should submit the audit reports directly to HRSA.

c. Reporting Fraud, Waste, Abuse, and Mismanagement

- The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800- HHS-TIPS [1-800-447-8477]; TTY: 1-800-377-4950) and website for receiving information concerning fraud, waste, abuse, and mismanagement under HHS programs.

Additionally, information may be submitted 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. You can decline to give your name if you choose to remain anonymous.

5. Termination

a. Circumstances

HRSA or the pass-through entity may terminate this award under any of the following circumstances, per 45 CFR § 75.372:

- If your organization fails to comply with the terms and conditions of the award
- For cause
- With your consent, in which case you and HRSA must agree on the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated
- By you, upon sending HRSA or the pass-through entity a written notification setting forth the reasons for termination, the effective date, and, in the case of partial termination, the portion to be terminated.

However, if HRSA or the pass-through entity determines, in the case of partial termination, that the reduced or modified portion of the award or subaward will not accomplish the purposes for which the award was made, HRSA or the pass-through entity may terminate the federal award.

b. Appeal

HRSA affords appeal rights for remedies for non-compliance, including termination.

See 45 CFR § 75.374 for opportunities to object, hearings, and appeals.

Bryant, Sara (HRSA)

From: HRSA OFAAM OAA Front Office
Sent: Wednesday, July 30, 2025 9:08 AM
To: Jones, Matthew (HRSA); HRSA OFAAM OAA Front Office
Cc: Wilensky, Dvora (HRSA); Keita, Lynda (HRSA); Riggle, Jennifer (HRSA); Santos, Marco (HRSA); HRSA Division of Grants Policy
Subject: RE: Request to post HRSA AT 2025-03 - Updating Terms and Conditions for Compliance with Antidiscrimination Laws and Requirements

Categories: Blue

Good morning,

Per Cynthia, the AT is approved. The FAC notice is not necessary as it's duplicative of yesterday's announcement which communicates the updates to the TCs.

Sara K. Bryant
Director, Office of the Associate Administrator
Office of Federal Assistance and Acquisition Management
Health Resources and Services Administration
U.S. Department of Health and Human Services

From: Jones, Matthew (HRSA) <MJones@hrsa.gov>
Sent: Tuesday, July 29, 2025 11:50 AM
To: HRSA OFAAM OAA Front Office <OFAAMOAAFrontOffice@hrsa.gov>
Cc: Wilensky, Dvora (HRSA) <DWilensky@hrsa.gov>; Keita, Lynda (HRSA) <LKeita@hrsa.gov>; Riggle, Jennifer (HRSA) <JRiggle@hrsa.gov>; Santos, Marco (HRSA) <MSantos@hrsa.gov>; HRSA Division of Grants Policy <DGP@hrsa.gov>
Subject: Request to post HRSA AT 2025-03 - Updating Terms and Conditions for Compliance with Antidiscrimination Laws and Requirements

Good morning OFAAM OAA Front Office,

DGP requests your review and approval of the attached HRSA AT 2025-03 - Updating Terms and Conditions for Compliance with Antidiscrimination Laws and Requirements This document explains the update to HRSA's general terms and conditions to reflect HHS policy as outlined in HHS Action Transmittal OG AT 2025-05 - Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements.

Once approved, we will post to the DGP SharePoint site and issue a short FAC notice.

Please let us know if you have any questions.

Thank you,

-Matt

Matthew Jones
Grants Management Specialist
U.S. Department of Health and Human Services
Health Resources and Services Administration

OFFICE OF FEDERAL ASSISTANCE AND ACQUISITION MANAGEMENT ACTION TRANSMITTAL

HEALTH RESOURCES AND SERVICES ADMINISTRATION

ACTION TRANSMITTAL – INTERNAL

Transmittal No. HRSA AT 2025-04

Issuance Date: July 30, 2025

Effective Date: Immediately Upon Issuance

TO: HRSA Bureaus and Offices

FROM: OFAAM, Chief Grants Management Officer

SUBJECT: Updating Terms and Conditions for Compliance with Antidiscrimination Laws and Requirements

Purpose

This document explains the update to HRSA's general terms and conditions to reflect HHS policy.

Background

On July 24, 2025, HHS Office of Grants issued Action Transmittal OG AT 2025-05 - Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements. The action transmittal provided a new term that all HHS awarding agencies must include in their Notice of Award (NoA), terms and conditions, and Notices of Funding Opportunities (NOFOs):

> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

HHS also updated the HHS Grants Policy Statement (GPS) (effective July 2025) to reflect this new term.

Implementation

In response to the HHS action transmittal, OFAAM updated the HRSA general terms and conditions on July 25, 2025. This update is effective immediately. OFAAM issued a Federal Assistance Council (FAC) notice on July 29, 2025, to inform staff of this update. OFAAM will also update the NOFO Content Guides to reflect the change by August 14, 2025.

Resources

- HHS Action Transmittal OG AT 2025-05, Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements
- HHS Grants Policy Statement (Effective July 2025)
- HRSA General Terms and Conditions

Inquiries

Inquiries regarding this bulletin should be directed to:
OFAAM's Division of Grants Policy
Email: DGP@HRSA.gov

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201

ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-01

Issuance Date: March 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

SUBJECT: Department of Health and Human Services Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Executive Order 14168 Legal Requirements for Title IX Implicated Recipients of Federal Financial Assistance

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

It is the policy of the United States to recognize two sexes, male and female. This policy is reflected in Executive Order 14168 entitled Defending Women From Gender Ideology Extremism and Restoring Biological Truth in the Federal Government (January 20, 2025). It is also reflected in sex-protective laws found at Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq.

HHS is requiring awarding agencies to ensure financial assistance recipients are compliant with the requirements of these laws and Executive Order 14168.

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

For all new awards, HHS awarding agencies must insert the below HHS-approved language in Notices of Award (NoAs) to entities that participate in, facilitate, or fund programs that implicate Title IX. Programs that could implicate Title IX would include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Required Notice of Award Term and Condition Language

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001.

From: Graves, Thomas (SAMHSA/OFR)
To: George, Roger (SAMHSA/OFR); Marcano, Maegan (SAMHSA/OFR); DGM-SupervisorsSAMHSA
Cc: Arnwine, Aaron (SAMHSA/OFR)
Subject: FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women
Date: Monday, March 31, 2025 9:22:00 AM
Attachments: image001.png

All,

Aaron put this on teams.

Thomas

From: Arnwine, Aaron (SAMHSA/OFR) <Aaron.Arnwine@samhsa.hhs.gov>
Sent: Monday, March 31, 2025 9:16 AM
To: Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>
Subject: RE: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

03.28.25 HHS Memo re EO Defending Women Legal Requirements for Title IX Implicated Recipients of Financial Assistance.pdf

Aaron Matthew Arnwine
Grants Management Specialist
Division of Grants Management
Substance Abuse and Mental Health Services Administration

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>
Sent: Friday, March 28, 2025 3:56 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-01, Defending Women

Chief Grants Management Officers,

The attached Action Transmittal requires you to add a new term and condition language in Notice of Awards (NoAs) for new awards for entities participating in, facilitating, or funding programs implicating Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 et seq. Programs that could implicate Title IX include awards to or for school, colleges, universities, 4-H programs, non-governmental organization (NGO) programs, sports programs, and education-related awards to prisons or other detention facilitates.

Please ensure that your teams are notified of this new T&C. If you have any questions, please reach out to your desk liaison or to Johanna Nestor at Johanna.Nestor@hhs.gov.

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | **OS** | **ASFR** | **Office of Grants**
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> > *(a) DEI means "diversity, equity, and inclusion."*
> >
> > *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
> >
> > *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
> >
> > *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
> >
> > *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
> >
> > *(2) Grant award certification.*
> >
> > > *(a) By accepting the grant award, recipients are certifying that:*
> > >
> > > > *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
> > > >
> > > > *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
>
> *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

From:	Graves, Thomas (SAMHSA/OFR)
To:	OFR Senior Staff (SAMHSA)
Cc:	Graves, Thomas (SAMHSA/OFR); George, Roger (SAMHSA/OFR); Marcano, Maegan (SAMHSA/OFR); Arnwine, Aaron (SAMHSA/OFR)
Subject:	FW: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)
Date:	Thursday, May 29, 2025 7:51:00 AM
Attachments:	OG AT 2025-03 Rescinded AT 2025-02 db.pdf Action Transmittal GPS Update 2025-02.pdf

All,

The most recent ASFR Grants action transmittal (AT) has been rescinded. The action transmittal updated the GPAM with information for grantees to "*Federal anti-discrimination laws"* and included definitions with DEI. As indicated below ASFR is waiting further guidance on updating the GPAM.

Thomas

From: Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>
Sent: Wednesday, May 28, 2025 4:49 PM
To: Baugh, Cynthia (HRSA) <CBaugh@hrsa.gov>; Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>; Braxton, Makoto (ASPR/ADMIN) <Makoto.Braxton@hhs.gov>; Brookins, Marsha (IHS/HQ) <Marsha.Brookins@ihs.gov>; Bryant, Benjamin (ARPA-H) <benjamin.bryant@arpa-h.gov>; Bulls, Michelle G. (NIH/OD) [E] <michelle.bulls@nih.gov>; Chandler, Tanielle (ACL) <Tanielle.Chandler@acl.hhs.gov>; Clifford, Chad (HHS/ASFR) <Chad.Clifford@hhs.gov>; Cooper, Renee (HHS/ASFR) <Renee.Cooper@hhs.gov>; Crowley, Alexis L (OIG/OMP) <Alexis.Crowley@oig.hhs.gov>; Genovese, Alissa (HHS/ASFR) <Alissa.Genovese@hhs.gov>; Ghosh, Sudevi (CDC/OGC) <ggq4@cdc.gov>; Goldhaber, Ben (ACF) <Ben.Goldhaber@acf.hhs.gov>; Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>; Hakimian, Rina (HHS/OGC) <rina.hakimian@hhs.gov>; Legier, Jamie W. (CDC/OCOO/OFR/OGS) <bzl3@cdc.gov>; Lorenzo, Felix (HHS/ASFR) <Felix.Lorenzo@hhs.gov>; Nestor, Johanna (HHS/ASFR) <Johanna.Nestor@hhs.gov>; Pendleton, Kimberly (FDA/OC) <Kimberly.Pendleton@fda.hhs.gov>; Tilford, Kevin (HHS/ASFR) <Kevin.Tilford@hhs.gov>; Tucker, Avery (HHS/ASFR) <Avery.Tucker@hhs.gov>; Vollmer, Jason (CMS/OAGM) <Jason.Vollmer@cms.hhs.gov>; West, Eric (HHS/OASH) <Eric.West@hhs.gov>; Wilburg, Seon (OS/ASTP) <Seon.Wilburg@hhs.gov>; Xu, Tanya (HHS/OGC) <Tanya.Xu@hhs.gov>; Young, Steven W. (AHRQ/OMS) <Steven.Young@AHRQ.hhs.gov>; Ta, Kristin (NIH/OD) [E] <kristin.ta@nih.gov>
Subject: EFFECTIVE IMMEDIATELY: Action Transmittal 2025-03 (Rescinding AT 2025-02 until an updated term is issued)

Chief Grants Management Officers,
Effectively immediately OG rescinds Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. We are awaiting further Federal-wide guidance prior to updating the Grants Policy Statement (GPS).

For now, you do not need to take the actions described in AT 2025-02 to apply the award term therein to HHS award actions.

Please let us know if you have any questions.

Chad T. Clifford
Executive Director, DPOET – Office of Grants
Office of the Secretary - ASFR
U.S. Dept. of Health & Human Services
Phone: 202-360-7318

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-02

Issuance Date: April 16, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

CHAD CLIFFORD -S
Digitally signed by CHAD CLIFFORD -S
Date: 2025.04.16 17:17:24 -04'00'

SUBJECT: Department of Health and Human Services Grants Policy Statement (GPS) Update

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

PURPOSE AND BACKGROUND:

The Department of Health and Human Services (HHS) maintains the HHS Grants Policy Statement (GPS), which is incorporated as a standard term and condition of award on all HHS financial assistance awards via the Notice of Award (NoA). The GPS provides information on HHS agencies that make awards, the award process, and where to find and apply for awards, as well as legal and regulatory rules that apply to awards.

This Action Transmittal notifies HHS agencies of an update to the HHS GPS and identifies a new term of award effective on all new awards immediately. This new term applies prospectively for new awards, not retroactively.

Internal Only

OFFICE OF GRANTS ACTION TRANSMITTAL
U.S DEPARTMENT OF HEALTH AND HUMAN SERVICES

ACTION:

With this action transmittal, HHS agencies are notified that the HHS GPS has been updated effective April 16, 2025 to include the below term of award in the section titled "Civil Rights Assurance" (*pages 18-19*).

Agencies are instructed to apply the following condition to all new awards effective immediately:

> *Recipients must comply with all applicable Federal anti-discrimination laws material to the government's payment decisions for purposes of 31 U.S.C. § 372(b)(4).*
>
> *(1) Definitions. As used in this clause –*
>
> *(a) DEI means "diversity, equity, and inclusion."*
>
> *(b) DEIA means "diversity, equity, inclusion, and accessibility."*
>
> *(c) Discriminatory equity ideology has the meaning set forth in Section 2(b) of Executive Order 14190 of January 29, 2025.*
>
> *(d) Discriminatory prohibited boycott means refusing to deal, cutting commercial relations, or otherwise limiting commercial relations specifically with Israeli companies or with companies doing business in or with Israel or authorized by, licensed by, or organized under the laws of Israel to do business.*
>
> *(e) Federal anti-discrimination laws means Federal civil rights law that protect individual Americans from discrimination on the basis of race, color, sex, religion, and national origin.*
>
> *(2) Grant award certification.*
>
> *(a) By accepting the grant award, recipients are certifying that:*
>
> *(i) They do not, and will not during the term of this financial assistance award, operate any programs that advance or promote DEI, DEIA, or discriminatory equity ideology in violation of Federal anti-discrimination laws; and*
>
> *(ii) They do not engage in, and will not during the term of this award engage in, a discriminatory prohibited boycott.*
>
> *(3) HHS reserves the right to terminate financial assistance awards and claw back all funds if the recipients, during the term of this award, operate any program in violation of Federal anti-discriminatory laws or engages in prohibited boycott.*

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-03

Issuance Date: May 28, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

William D. Bell IV -S
Digitally signed by William D. Bell IV -S
Date: 2025.05.28 15:26:59 -04'00'

SUBJECT: Action Transmittal 2025-02, *Department of Health and Human Services Grants Policy Statement (GPS) Update*, is rescinded until an updated term is issued.

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

Internal Only

The Substance Abuse and Mental Health Services Administration

Fiscal Year (FY) 2025 Standard Terms and Conditions

These are SAMHSA's 2025 Award Standard Terms and Conditions for discretionary grants and cooperative agreements awarded by SAMHSA including all active awards that did not reach their project period end date by October 1, 2024, and supersede any previous terms and conditions.

1. Administrative Requirements

The terms and conditions set forth below are not exhaustive. Refer to the HHS Administrative and National Policy Requirements for all applicable governing documents. The governing documents in the HHS Administrative and National Policy Requirements supersede provisions in these terms and conditions. You must comply with the laws, policies, and terms and conditions included in your Notice of Award (NOA). Additionally, SAM.gov and Unique Entity Identifier (UEI) registration is required throughout the lifecycle of all SAMHSA awards.

Applicable Regulatory Provisions. Prior to October 1, 2025, this award is subject to 45 CFR 75 except for eight flexibilities from 2 CFR 200 adopted by HHS on October 1, 2024. Starting on October 1, 2025, this award will be subject to any applicable provisions of 2 CFR 200 and 2 CFR 300.

These are the specific provisions of 2 CFR 200 that went into effect for all active awards on October 1, 2024:

Provision	Previous Regulation(s)	New Regulation(s)	45 CFR Part 75 Threshold before 10/01/2024	2 CFR 200 New Threshold on or after 10/1/2024
Modified Total Direct Cost Definition	45 CFR 75.2	2 CFR 200.1	**$25,000**	**$50,000**
Equipment	45 CFR 75.2 45 CFR 75.320(e)	2 CFR 200.1, 200.313(e)	**$5,000**	**$10,000**
Unused Supplies	45 CFR 75.2 45 CFR 75.321(a)	2 CFR 200.1, 200.314(a))	**$5,000**	**$10,000**
Micro-purchase Threshold	45 CFR 75.329(a)	2 CFR 200.320	**$10,000**	**$50,000**

Provision	Previous Regulation(s)	New Regulation(s)	45 CFR Part 75 Threshold before 10/01/2024	2 CFR 200 New Threshold on or after 10/1/2024
Fixed Amount Awards Subawards	45 CFR 75.353	2 CFR 200.333	**$250,000**	**$500,000**
Closeout[1]	45 CFR 75.381	2 CFR 200.344	**90 days**	**120 days**
De Minimis Indirect Rate	45 CFR 75.414(f)	2 CFR 200.414(f)	**10%**	**15%**
Single Audit	45 CFR 75.501	2 CFR 200.501	**$750,000**	**$1,000,000**

The revised HHS Grants Policy Statement (GPS) took effect April 16, 2025. Recipients are required to comply with the HHS GPS.

Recipients are required to comply with all applicable Executive Orders.

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

2. Acceptance of the Terms of an Award

By drawing or otherwise obtaining funds from the Department of Health and Human Services (HHS) Payment Management System (PMS), the recipient acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer (GMO) within thirty (30) days of receipt of this award notice. Once an award is accepted by a recipient, the contents of the Notice of Award (NOA) are binding on the recipient unless and until modified by a revised NOA signed by the GMO.

Certification Statement: By drawing down funds, the recipient certifies that proper financial management controls and accounting systems, to include but not limited to personnel policies and procedures, have been established to adequately administer Federal awards and funds

[1] See 88 FR 63591 (Sept. 15, 2023)

drawn down. Recipients of HHS grants or cooperative agreement awards must comply with all terms and condition of their awards, including: (a) terms and conditions included in the HHS Grants Policy Statement in effect at the time of a new, non-competing continuation, or renewal award, including the requirements of HHS grants administration regulations; (b) requirements of the authorizing statutes and implementing regulations for the program under which the award is funded; (c) applicable requirements or limitations in appropriations acts; and (d) any requirements specific to the particular award specified in program policy and guidance, the Notice of Funding Opportunity (NOFO), or the NOA.

SAMHSA encourages you to address the behavioral health needs of all people including disproportionately impacted communities in your service area.

3. Subrecipient and Subcontract Monitoring and Management

All Federal assistance programs must comply with the Subrecipient Monitoring and Management requirements described in 45 CFR 75.351 – 75.353.

Determinations: Recipients are required to make case-by-case subrecipient and contractor determinations on whether the substance of an agreement creates a Federal assistance relationship (subaward) or a procurement relationship (contract) in accordance with 45 CFR 75.351. The presence of one or more characteristics may not be present in all cases; as such, the recipient must use judgment as the substance of the relationship is more important than the form of the agreement. SAMHSA may also supply and require recipients to comply with additional guidance to support these determinations.

Contract: Recipients are responsible for ensuring that contracts contain the applicable provisions described in Appendix II of 45 CFR Part 75. The recipient is responsible for oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of the contract or purchase order. Records must be maintained by the recipient and be sufficiently detailed for compliance.

Subrecipient: Recipients are required to advise subrecipients of requirements imposed on them by Federal laws, regulations, and the provisions of award as well as any supplemental requirements imposed by the recipient. These include administrative and audit requirements (where applicable) under 45 CFR Part 75. The recipient must conduct a risk assessment of subrecipient(s) in accordance with 45 CFR 75.352(b). Additionally, all subrecipient(s) must obtain a Unique Entity Identifier number assigned by the System for Award Management (SAM.gov), if they do not already have one. Recipients are required to check SAM.gov to verify that the subrecipient(s) is/are not debarred, suspended, or ineligible. Recipients are responsible for monitoring the activities of the subrecipient to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the Terms and Conditions of the subaward, and that subaward performance goals are achieved. “Monitoring

by the non-Federal entity must cover each program, function and activity." See 45 CFR 75.342 and 75.352. Records must be maintained by the recipient and be sufficiently detailed for compliance.

4. Flow down of requirements to subrecipients

The recipient, as the awardee organization, is legally and financially responsible for all aspects of this award including funds provided to subrecipients, in accordance with 45 CFR 75.351 – 75.352, Subrecipient monitoring and management.

5. Submitting Responses to Special Terms and Conditions and Post Award Amendment Requests

Unless otherwise identified in the special terms and conditions of award and post award requests, all responses to special terms and conditions of award and post award requests must be submitted through the eRA Commons system.

6. Ad Hoc Submissions

Throughout the project period, SAMHSA may determine that a grant requires submission of additional information beyond the standard deliverables (see 45 CFR 75.301). This information may include, but is not limited to, the following:

- Payroll
- Purchase orders
- Contract documentation
- Proof of project implementation

7. Obligation Period

Recipients may allocate to the award only allowable costs incurred during the period of performance. See the NOA for the approved start and end dates of the period of performance and, if applicable, the budget period for the award. Costs incurred within a specific budget period may only be allocated to the award within the dates specified for that budget period.

8. Cost Sharing or Matching (Non-Federal Share) of Program Funding:

Some Federal financial assistance programs require the recipient to provide a portion of program funding, as specified by Federal law. Refer to the NOFO or program-specific Terms and Conditions for the requirements.

Insular Areas: As a matter of policy, SAMHSA may wave federal matching requirements for insular areas when statutory authority is available.

9. Program Income

Recipients will use the *addition method* and add program income to funds committed to the project to further eligible project objectives. Subrecipients that are for-profit commercial organizations under the same award must use the *deductive alternative* and reduce their subaward by the amount of program income earned.

Program income must be used for the original purpose of the Federal award. Program income earned during the period of performance may only be used for costs incurred during the period of performance (see 45 CFR 75.307). Program income must be expended prior to requesting additional Federal funds. Program income exceeding amounts specified in the Federal award may be added to the total allowable costs in accordance with the terms and conditions of the Federal award.

10. Award Payments

All Federal financial assistance program payments will be made available through the HHS PMS. Questions pertaining to payments should be directed to: HHS Division of Payment Management, P.O. Box 6021, Rockville, MD, 20852, or PMS Help Desk at 877-614-5533, or PMSSupport@psc.gov. Other questions should be directed to the GMS contact listed on the NOA.

Unless otherwise directed in the financial or program specific expenditure report, the HHS Program Support Center (PSC) serves as a centralized point for returning award interest and funds according to established federal law, policies, procedures, and regulations. PMS prefers that repayment be completed as an electronic transfer or by check. Refer to the Returning Funds/Interest instructions under the Recipients drop-down on the PMS website.

11. Compliance Requirements

The eligibility and program requirements originally outlined in the NOFO must continue to be adhered to as the funded project is implemented. Recipients must comply with the performance goals, milestones, outcomes, and performance data collection as reflected in the NOFO and related policy and guidance. Additional terms and/or conditions may be applied to this award if outstanding financial or programmatic compliance issues are identified by SAMHSA (see 45 CFR 75.371, Remedies for Non-compliance)

12. Points of Contact for Additional Information or Questions

Points of contact for additional information or questions concerning either the operation of the program or related financial or federal assistance award matters may be found on the NOA under Staff Contacts. The Program Official contact handles the programmatic specific needs such as program intent, goals and objectives; whereas, the Grants Specialist contact typically handles any business, financial, and administrative activities such as budget revisions, and prior approval requests.

13. HHS Office of Inspector General (OIG) Hotline

The OIG of HHS maintains the OIG Hotline, a system for reporting allegations of fraud, waste, abuse and mismanagement in Department of Health and Human Services' programs. Your information will be reviewed by a professional staff member and will remain confidential; you need not provide your name. Information provided through the website is secure and all information is safeguarded against unauthorized disclosure. Report the possible misuse of federal funds by phone or online. Provide as much detailed information as possible in your report.

Online: https://oig.hhs.gov/report-fraud
Phone: 800-HHS-TIPS (800-447-8477)
TTY: 800-377-4950
Fax: 800-223-8164
If you are a provider, HHS contractor, HHS recipient or subrecipient and want to self-disclose potential fraud in HHS programs, visit the self-disclosure webpage at: https://oig.hhs.gov/compliance/self-disclosure-info/index.asp.

14. Mandatory Disclosures

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the HHS awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in Appendix XII are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371, including suspension or debarment (See also 2 CFR Parts 180 and 376, and 31 U.S.C. 3321).

15. Future Spending

As indicated in the NOA, recommended future support reflects total costs (direct plus indirect). Funding is subject to the availability of Federal funds, satisfactory progress and continued funding is in the best interest of the Federal government.

16. Non-Supplant

Federal award funds must supplement, not replace (supplant) non-federal funds. All recipients who receive awards under programs that prohibit supplanting by law must ensure that federal funds do not supplant funds that have been budgeted for the same purpose through non-federal sources. Applicants or award recipients may be required to demonstrate and document that a reduction in non-federal resources occurred for reasons other than the receipt of expected receipt of federal funds.

17. Unallowable Costs

All costs incurred prior to the award issue date and costs not consistent with the NOFO, 45 CFR 75, and the HHS Grants Policy Statement, are not allowable under this award.

18. Administrative and National Policy Requirements

Public policy requirements are requirements with a broader national purpose than that of the Federal sponsoring program or award that an applicant/recipient must adhere to as a prerequisite to and/or condition of an award (see HHS Administrative and National Policy Requirements). Public policy requirements are established by statute, regulation, or Executive order. In some cases, they relate to general activities, such as preservation of the environment, while, in other cases they are integral to the purposes of the award-supported activities. An application funded with the release of federal funds through a grant award does not constitute or imply compliance with federal statute and regulations. Funded organizations are responsible for ensuring that their activities comply with all applicable federal regulations, refer to Part II of the HHS Grants Policy Statement.

19. Civil Rights Compliance Requirement

The Applicant hereby agrees that it will comply with Title VI of the Civil Rights Act of1964, as amended (codified at 42 U.S.C. 2000d *et seq.*), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 80); Section 504 of the Rehabilitation Act of 1973, as amended (codified at 29 U.S.C. 794), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 84); Title IX of the Education Amendments of 1972, as amended (codified at 20 U.S.C. § 1681 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86); The Age Discrimination Act of

1975, as amended (codified at 42 U.S.C. § 6101 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 91); and Section 1557 of the Patient Protection and Affordable Care Act, as amended (codified at 42 U.S.C. § 18116), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 92).

Domestic recipients, subrecipients, and contractors must file Form HHS 690, Assurance of Compliance, once with the HHS Office for Civil Rights (OCR). It is not needed for each application. The recipient must ensure that subrecipients and contractors have filed the form.

20. Title IX Compliance Requirement

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended,20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964,42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001

21. Universal Identifier and System of Award Management (SAM) Requirements

This award is subject to requirements as set forth in 2 CFR 25 – Universal Identifier and System for Award Management (SAM) Requirements.

This award is subject to requirements as set forth in 2 CFR 25 – Universal Identifier and System for Award Management (SAM) Requirements.

A. Requirement for System of Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you, as the recipient must maintain the currency of your information in SAM.gov, until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

B. Requirement for unique entity identifier if you are authorized (refer to the project description) to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you, unless the entity has provided its unique entity identifier to you; and

2. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

C. Definitions

For purposes of this award term:

1. SAM means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information on registration procedures may be found at SAM.gov.

2. Unique entity identifier means the identifier required for SAM registration to uniquely identify business entities.

3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart D:

   - A governmental organization, which is a state, local government, or Indian Tribe;
   - A foreign public entity;
   - A domestic or foreign nonprofit organization;
   - A domestic or foreign for-profit organization; and
   - A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

4. Subaward:

- This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient;
- The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.1 and 2 CFR 200.331).
- A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

5. Subrecipient means an entity that:
   - receives a subaward from you under this award; and
   - is accountable to you for the use of the Federal funds provided by the subaward.

22. Federal Funding Accountability and Transparency Act (FFATA)

The Federal Funding Accountability and Transparency Act (FFATA) was signed on September 26, 2006. The SAM.gov FFATA Subaward Reporting System (FSRS) is the reporting tool federal prime awardees (i.e., prime contractors and prime grants recipients) must use to capture and report subaward and executive compensation data regarding their first-tier subawards to meet the FFATA reporting requirements. Prime contract awardees must report against subcontracts awarded. Prime grant awardees will report against issued subawards. The subaward information entered in SAM.gov will be displayed in the USASpending.gov record associated with the prime award.

23. SAM.gov Responsibility Qualification (R/Q) – Recipient Integrity and Performance (Reporting of Matters Related to Recipient Integrity and Performance)

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to SAM.gov that is made available in the designated integrity and performance system called Responsibility/Qualification (R/Q) on SAM.gov about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

24. Rights in Data and Publication

As applicable, recipients agree to the requirements for intellectual property, rights in data, access to research data, publications, and sharing research tools, and intangible property and copyrights as described in 45 CFR 75.322 and the HHS Grants Policy Statement.

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. SAMHSA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

25. Conflicts of Interest

Consistent with 45 CFR 75.112, recipients must establish written policies and procedures to prevent employees, consultants, and others (including family, business, or other ties) involved in grant-supported activities, from involvement in actual or perceived conflicts of interest. The policies and procedures must:

- address conditions under which outside activities, relationships, or financial interest are proper or improper;
- provide for advance disclosure of outside activities, relationships, or financial interest to a responsible organizational official;
- include a process for notification and review by the responsible official of potential or actual violations of the standards; and
- specify the nature of penalties that may be imposed for violations.

26. Lobbying Restrictions

Per 45 CFR 75.215, Recipients are subject to the restrictions on lobbying as set forth in 45 CFR 93.

18 U.S.C. 1913 - Lobbying with appropriated moneys, No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation; but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Member or official, at his request, or to Congress or such official, through the proper official channels, requests for any legislation, law, ratification, policy, or appropriations which they deem necessary for the efficient conduct of the public business, or from making any communication

whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with the conduct of foreign policy, counter-intelligence, intelligence, or national security activities. Violations of this section shall constitute as a violation of section 1352 (a) of Title 31.

27. Drug-Free Workplace

The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq.) requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Governmentwide implementation (2 CFR 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707). By signing the application, the recipient's Authorized Organization Representative (AOR) agrees that the recipient will provide a drug-free workplace and will comply with the requirement to notify SAMHSA if an employee is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. Government wide requirements for Drug-Free Workplace for Financial Assistance are found in 2 CFR 182. HHS implementing regulations are set forth in 2 CFR 382.400.

28. Trafficking Victims Protection act of 2000

The Trafficking Victims Protection Act of 2000 authorizes termination of financial assistance provided to a private entity, without penalty to the Federal government, if the recipient or subrecipient engages in certain activities related to trafficking in persons. SAMHSA may unilaterally terminate this award, without penalty, if a private entity recipient, or a private entity subrecipient, or their employees:

- Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- Procure a commercial sex act during the period of time that the award is in effect; or,
- Use forced labor in the performance of the award or subawards under the award.

The text of the full award term is available at 2 CFR 175.105(b).

29. Confidentiality of Alcohol and Drug Abuse Patient Records

The regulations (42 CFR 2) are applicable to any information about alcohol and other drug abuse patients obtained by a "program" (42 CFR 2.11), if the program is federally assisted in any manner (42 CFR 2.12b). Accordingly, all project patient records are confidential and may be disclosed and used only in accordance with 42 CFR 2. The recipient is responsible for assuring

compliance with these regulations and principles, including responsibility for assuring the security and confidentiality of all electronically transmitted patient material.

30. Prohibition on Certain Telecommunications

As described in 2 CFR 200.216, recipients and subrecipients are prohibited to obligate or spend grant funds (to include direct and indirect expenditures as well as cost share and program) to:

- Procure or obtain;
- Extend or renew a contract to procure or obtain; or
- Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Pub. L. 115- 232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    - For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    - Telecommunications or video surveillance services provided by such entities or using such equipment.
    - Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

31. Carryover - Expanded Authority for Unobligated Balances from One Budget Period to Any Subsequent Budget Period

Federal administrative requirements allow agencies to provide recipients with expanded authorities, which waive certain cost-related and administrative prior approvals under certain conditions.

SAMHSA has extended expanded authority to recipients requesting carryover of unobligated balances (UOB) up to 25% or less for the current budget period (year when the funds are needed) provided that recipients are not on drawdown restriction.

Recipients requesting a carryover greater than 25% of the current budget period award cannot exercise this expanded authority.

Recipients who exercise expanded authority may include an Intent to Carryover statement in the Remarks section (box 12) of the annual Federal Financial Report (FFR).

Expanded authority may be overridden by other special terms or conditions of the award. For example, a recipient on drawdown restriction cannot use Expanded Authority and must submit a Formal Carryover request to carryover any amount of unobligated balance. Recipients must carefully review the NOA to determine if a particular authority is withheld for a specific award.

Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds.

For additional guidance on carryovers, see the SAMHSA website.

32. Prior Approval

SAMHSA anticipates that the recipient may need to modify the recipient's award budget or other aspects of its approved application during performance to accomplish the award's programmatic objectives. In general, recipients are allowed a certain degree of latitude to re-budget within and between budget categories to meet unanticipated needs and to make other types of post-award changes, provided that the changes still meet the statutory program requirements and the regulatory requirements under 45 CFR 75, as applicable.

Items that require prior approval (i.e., formal written approval) from the GMO, as indicated in either 45 CFR 75 or the HHS Grants Policy Statement, must be submitted in writing to the GMO. Based on the nature, extent, and timing of the request, the SAMHSA GMO may approve, deny, or request additional material to further document and evaluate your request.

Only an amended NOA signed by the GMO is considered valid. Verbal authorization is not approval and is not binding on SAMHSA. Recipients who proceed do so at their own risk.

Prior approval is required for but is not limited to: Changes in Key Personnel and Level of Effort, Budget Revisions, Changes in Scope, Carryover Requests (that fall outside the term for the Expanded Authority for Carryover), and No Cost Extensions. A list of activities that require prior approval are found in 45 CFR 75.308(c)(1). The HHS Grants Policy Statement discusses prior approvals in the Prior Approval section under Changes to Awards beginning on page 21.

Instructions regarding requests for prior approval are available on the SAMHSA website.

33. Executive Pay

For Executive Pay Salary Cap, refer to the Executive Pay section under Laws and Regulations on SAMHSA's website.

34. Advertising and Public Relations

Certain advertising costs are unallowable. Promotional items and memorabilia are unallowable for SAMHSA programs (see 45 CFR 75.421).

35. Acknowledgement of Federal Funding in communications and contracting

For each publication that results from HHS grant-supported activities, recipients must include an acknowledgment of grant support using one of the following statements:

"This publication was made possible by Grant Number _____ from _____."

"The project described was supported by Grant Number _____ from _____."

Recipients also must include a disclaimer stating the following:

"Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the [SAMHSA]."

If the recipient plans to issue a press release concerning the outcome of HHS grant-supported activities, it should notify SAMHSA in advance to allow for coordination. One copy of each publication resulting from work performed under an HHS grant-supported project must accompany the annual or final progress report submitted to SAMHSA.

36. Acknowledgement of Federal Funding at Conferences and Meetings

A conference is defined as a meeting, retreat, seminar, symposium, workshop or event whose primary purpose is the dissemination of technical information beyond the non-Federal entity and is necessary and reasonable for successful performance under the Federal award. Allowable conference costs paid by the non-Federal entity as a sponsor or host of the conference may include rental of facilities, speakers' fees, costs of meals and refreshments, local transportation, and other items incidental to such conferences unless further restricted by the terms and conditions of the Federal award. As needed, the costs of identifying, but not providing, locally available dependent-care resources are allowable. Conference hosts/sponsors must exercise discretion and judgment in ensuring that conference costs are appropriate, necessary and managed in a manner that minimizes costs to the Federal award. The HHS

awarding agency may authorize exceptions where appropriate for programs including Indian tribes, children, and the elderly. See also 45 CFR 75.438, 75.456, 75.474, and 75.475.

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar is funded by a grant, cooperative agreement, subaward and/or 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 SAMHSA. The views expressed in written conference materials or publications and by speakers and moderators do not necessarily reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government."

37. Rights in Data and Publications

As applicable, recipients agree to the requirements for intellectual property, rights in data, access to research data, publications, and sharing research tools, and intangible property and copyrights as described in 45 CFR 75.322 and the HHS Grants Policy Statement.

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. SAMHSA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

38. Healthy People 2030

Healthy People 2030 is a national initiative led by HHS that set priorities for all SAMHSA programs. Healthy People 2030 is the fifth iteration of the initiative. The initiative has two major goals: (1) increase the quality and years of a healthy life; and (2) eliminate our country's health disparities. The program consists of 358 core or measurable objectives. SAMHSA has actively participated in the work groups of all the focus areas and is committed to the achievement of the Healthy People 2030 goals. The framework for Healthy People 2030 can be found on the Healthy People 2030 website.

39. Accessibility Provisions

Recipients of Federal financial assistance (FFA) from HHS must administer their programs in compliance with Federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age, and in some circumstances, sex, and religion. This includes ensuring your programs are accessible to persons with limited English proficiency.

The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS.

Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. See Discrimination on the Basis of Disability. Contact the HHS Office for Civil Rights for more information about obligations and prohibitions under Federal civil rights laws or call 1-800-368-1019 or TDD 1-800-537-7697.

40. Data Collection and Performance Measurement

All SAMHSA recipients are required to collect and report evaluation data to ensure the effectiveness and efficiency of its programs under the Government Performance and Results (GPRA) Modernization Act of 2010 (P.L. 102-62). Recipients must comply with the performance goals, milestones, and expected outcomes as reflected in the NOFO and are required to submit data via SAMHSA's data-entry and reporting system.

GPRA tools are being updated to comply with the Presidential Executive Orders.

Contact your Government Project Officer (GPO) for additional submission information.

41. Legislative Mandates

Certain statutory provisions under P.L. 115-245, Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019, Division B, Title V, Title II, General Provisions limit the use of funds on SAMHSA grants, cooperative agreements, and contract awards. Such provisions are subject to change annually based on specific appropriation language that restricts the use of grant funds. Refer to the full text of P.L. 115-245.

42. Health Information Technology Interoperability

When your activities involve implementing, acquiring, or upgrading health IT, you and your subrecipients will:

- Meet the standards and specifications in 45 CFR 170, subpart B, if those standards support the activity.
- If the activities relate to activities of eligible clinicians in ambulatory settings or hospitals under Sections 4101, 4102, and 4201 of the HITECH Act, you will use only health IT certified by the Office of the National Coordinator for Health Information Technology (ONC) Health IT Certification Program.
- If standards and implementation specifications in 45 CFR 170, subpart B cannot support the activity, we encourage you to use health IT that meets non-proprietary standards

and specifications of consensus-based standards development organizations. This may include standards identified in the ONC Interoperability Standards Advisory. For more information, review HHS Health IT Alignment Policy | HHS Intranet and HHS Health IT Alignment Policy | HealthIT.gov.

43. Audits

Non-Federal recipients that expend $1,000,000 or more in federal awards during the recipient's fiscal year must have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. Guidance on determining Federal awards expended is provided in 2 CFR 200.502.

Recipients are responsible for submitting their Single Audit Reports and workbooks (SF-SAC) electronically to the to the Federal Audit Clearinghouse (FAC) within the earlier of 30 days after receipt or nine months after the FY's end of the audit period. The FAC operates on behalf of the OMB.

For specific questions and information concerning the submission process:

- Visit the FAC.gov
- Contact the FAC Helpdesk

44. Risk Assessment

SAMHSA may perform an administrative review of your organization's financial management system. If the review discloses material weaknesses or other financial management concerns, grant funding may be restricted in accordance with 45 CFR 75/2 CFR 200, as applicable. The restriction will affect your organization's ability to withdraw funds from the PMS account, until the concerns are addressed.

45. Closeout Requirements

In accordance with 2 CFR 200.344, award recipients must submit all final reports and liquidate all obligations no later than 120 days after the conclusion of the period of performance.

Required Final reports:

- Final Federal Financial Report (Final FFR, SF-425)
- Final Progress Report (FPR)
- Final Tangible Personal Property Report (Final TPPR, SF-428B and the SF-428S, as applicable)

Liquidation Period:

After one hundred twenty (120) days, the PMS account is automatically locked. SAMHSA does not approve payment requests after the one hundred twenty (120) day liquidation of obligations period; therefore, late drawdown requests occurring after the 120 days will be denied.

Failure to submit acceptable final reports in accordance with 2 CFR 200.344, SAMHSA correspondence and the terms and conditions of the Federal award may result in a unilateral closeout. SAMHSA may proceed to unilaterally close out the award with the information available unless otherwise directed by authorizing statute. When an award is unilaterally closed, SAMHSA will report the recipient's material failure to comply with the terms and conditions of the Federal award in SAM.gov (Responsibility/Qualification Records). SAMHSA may also pursue other enforcement actions as appropriate (refer to 45 CFR 75.371, 2 CFR 200.339).

Additional closeout information and instruction on submitting reports is available at https://www.samhsa.gov/grants/grants-management/grant-closeout.

46. Cancel Year

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

47. Termination

Prior to October 1, 2025, this award is subject to the termination provisions at 45 CFR 75.372. Starting on October 1, 2025, this award is subject to the termination provisions at 2 CFR 200.340. Pursuant to 2 CFR 200.340, the recipient agrees by accepting this award that continued funding for the award is contingent upon the availability of appropriated funds, recipient satisfactory performance, compliance with the Terms and Conditions of the award, and a decision by the agency that the award continues to effectuate program goals or agency priorities.

Prior to October 1, 2025, termination (45 CFR 75.372) applies to this award and states, in part, the following:

This award may be terminated in whole or in part:

- By the HHS awarding agency (SAMHSA) or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

- By the HHS awarding agency (SAMHSA) or pass-through entity for cause;

- By the HHS awarding agency (SAMHSA) or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

- By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Starting on October 1, 2025, termination (2 CFR 200.340) applies to this award and states, in part, the following:

The Federal award may be terminated in part or its entirety as follows:

- By the Federal agency or pass-through entity if the recipient or subrecipient fails to comply with the terms and conditions of the Federal award;

- By the Federal agency or pass-through entity with the consent of the recipient or subrecipient, in which case the two parties must agree upon the termination conditions. These conditions include the effective date and, in the case of partial termination, the portion to be terminated;

- By the recipient or subrecipient upon sending the Federal agency or pass-through entity a written notification of the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal agency or pass-through entity determines that the remaining portion of the Federal award will not accomplish the purposes for which the Federal award was made, the Federal agency or pass-through entity may terminate the Federal award in its entirety; or

- By the Federal agency or pass-through entity pursuant to the terms and conditions of the Federal award, including, to the extent authorized by law, if an award no longer effectuates the program goals or agency priorities.

SAMHSA is required to report any terminations the designated integrity and performance system called Responsibility/Qualification (R/Q) on SAM.gov (45 CFR 75.372(b)).

From: Graves, Thomas (SAMHSA/OFR)
To: DGM-SupervisorsSAMHSA; Marcano, Maegan (SAMHSA/OFR)
Cc: Arnwine, Aaron (SAMHSA/OFR); George, Roger (SAMHSA/OFR); Graves, Thomas (SAMHSA/OFR)
Subject: FW: [Term added to eRA]: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification
Date: Thursday, July 31, 2025 8:10:00 AM
Attachments: image001.png
Antidiscrimination Compliance Certification AT 2025-05.pdf
image002.png

All,

Added to standard terms and the T&C language for the NoA.

We need to discuss the application for the non-discretionary.

Provision	Previous Regulation(s)	New Regulation(s)	45 CFR Part 75 Threshold before 10/01/2024	2 CFR 200 New Threshold on or after 10/1/2024
Fixed Amount Awards Subawards	45 CFR 75.353	2 CFR 200.333	$250,000	$500,000
Closeout	45 CFR 75.381	2 CFR 200.344	90 days	120 days
De Minimis Indirect Rate	45 CFR 75.414(f)	2 CFR 200.414(f)	10%	15%
Single Audit	45 CFR 75.501	2 CFR 200.501	$750,000	$1,000,000

The revised HHS Grants Policy Statement (GPS) took effect April 16, 2025. Recipients are required to comply with the HHS GPS.

Recipients are required to comply with all applicable Executive Orders.

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Thomas

From: George, Roger (SAMHSA/OFR) <Roger.George@samhsa.hhs.gov>
Sent: Wednesday, July 30, 2025 6:38 PM
To: Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>
Cc: Arnwine, Aaron (SAMHSA/OFR) <Aaron.Arnwine@samhsa.hhs.gov>; George, Roger (SAMHSA/OFR) <Roger.George@samhsa.hhs.gov>
Subject: [Term added to eRA]: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

Thomas, confirming the language below has been added to the eRA template for Continuations and New Awards.

Note: The language was added as the **second bullet** in the **Remark** "*Federal Terms and Conditions for SAMHSA Grant Awards*" (first remark) in both the **Terms Catalog** and the **Terms Template**.

REMARKS

Federal Terms and Conditions for SAMHSA Grant Awards

- *This document outlines the federal terms and conditions applicable to your Substance Abuse and Mental Health Services Administration (SAMHSA) grant award. Please review these requirements carefully to ensure compliance throughout the life of the award.*
- *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

DRAFT

Roger George
(M): 202.768.1302

For official use only—not to be disseminated. INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW: This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law. If you are not an intended recipient, or have received this message in error, please delete it without reading it and please do not print, copy, forward, disseminate or otherwise use the information. Also, please notify the sender that you have received this communication in error.

From: Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>
Sent: Wednesday, July 30, 2025 3:13 PM
To: George, Roger (SAMHSA/OFR) <Roger.George@samhsa.hhs.gov>
Cc: Arnwine, Aaron (SAMHSA/OFR) <Aaron.Arnwine@samhsa.hhs.gov>
Subject: FW: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

Roger did this get added to our term that is placed on all the NoA?

Thomas

From: Graves, Thomas (SAMHSA/OFR) <Thomas.Graves@samhsa.hhs.gov>
Sent: Friday, July 25, 2025 1:31 PM
To: Rogers, Holly (SAMHSA/OFR) <Holly.Rogers@samhsa.hhs.gov>; George, Roger (SAMHSA/OFR) <Roger.George@samhsa.hhs.gov>; Marcano, Maegan (SAMHSA/OFR) <Maegan.Marcano@samhsa.hhs.gov>
Cc: Crocker, Odessa (SAMHSA/OFR) <Odessa.Crocker@SAMHSA.hhs.gov>; Arnwine, Aaron (SAMHSA/OFR) <Aaron.Arnwine@samhsa.hhs.gov>; Craft, Christopher (SAMHSA/OFR) <Christopher.Craft@samhsa.hhs.gov>
Subject: Fw: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

Note the award and NOFO requirements.

Thomas

From: Bell, Dale (HHS/ASFR) <Dale.Bell@hhs.gov>

Sent: Friday, July 25, 2025 12:46:23 PM
To: OS - OG CGMO <OS-OGCGMO@ees.hhs.gov>
Subject: EFFECTIVE IMMEDIATELY: Term and Condition Language for Antidiscrimination Laws and Requirements Compliance Certification

Chief Grants Management Officers,

On May 28th, the Office of Grants rescinded Action Transmittal 2025-02 titled, *Department of Health and Human Services Grants Policy Statement (GPS) Update*. Today, July 24, 2025, the Grants Policy Statement (GPS) was updated to reflect the below revised language regarding compliance with all federal antidiscrimination laws. Moving forward, HHS awarding agencies must include the below HHS-approved term in all Notices of Award (NoAs) and clearly state the term in Notices of Funding Opportunity (NOFOs).

> ***Required Notice of Award Term and Condition Language***
>
> *By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.*

See the attached associated Action Transmittal. Please contact your Desk Officer if you have any questions, or anyone in OG. Thank you,

-Dale

Dale Bell | Deputy Assistant Secretary
HHS | OS | ASFR | Office of Grants
Office: 202.763.5792| **dale.bell@hhs.gov**

DEPARTMENT OF HEALTH & HUMAN SERVICES Office of the Secretary
Washington, D.C. 20201

Office of Grants
Office of the Assistant Secretary for Financial Resources
Room 511D – Hubert Humphrey Building
200 Independence Ave., S.W.
Washington, D.C. 20201
ACTION TRANSMITTAL – INTERNAL

Transmittal No.: OG AT 2025-05

Issuance Date: July 24, 2025

TO: HHS Grants and Cooperative Agreements Awarding Agencies

FROM: Dale Bell
Deputy Assistant Secretary
Office of Grants (OG)
Office of the Assistant Secretary for Financial Resources (ASFR)
U.S. Department of Health and Human Services (HHS)

WILLIAM D. BELL IV -S Digitally signed by WILLIAM D. BELL IV -S Date: 2025.07.25 11:36:10 -04'00'

SUBJECT: Updated Term and Condition for Compliance with Antidiscrimination Laws and Requirements

APPLICABILITY: HHS awarding agencies making discretionary and non-discretionary grant or cooperative agreement awards (collectively grants).

EFFECTIVE DATE: Effective immediately.

ACTION:

HHS awarding agencies must insert the below HHS-approved language as a term and condition in all Notices of Award (NoAs) and clearly state this term in Notices of Funding Opportunity (NOFOs):

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Internal Only

The Substance Abuse and Mental Health Services Administration

Fiscal Year (FY) 2025 Standard Terms and Conditions

These are SAMHSA's 2025 Award Standard Terms and Conditions for discretionary grants and cooperative agreements awarded by SAMHSA including all active awards that did not reach their project period end date by October 1, 2024, and supersede any previous terms and conditions.

1. Administrative Requirements

The terms and conditions set forth below are not exhaustive. Refer to the HHS Administrative and National Policy Requirements for all applicable governing documents. The governing documents in the HHS Administrative and National Policy Requirements supersede provisions in these terms and conditions. You must comply with the laws, policies, and terms and conditions included in your Notice of Award (NOA). Additionally, SAM.gov and Unique Entity Identifier (UEI) registration is required throughout the lifecycle of all SAMHSA awards.

Applicable Regulatory Provisions. Prior to October 1, 2025, this award is subject to 45 CFR 75 except for eight flexibilities from 2 CFR 200 adopted by HHS on October 1, 2024. Starting on October 1, 2025, this award will be subject to any applicable provisions of 2 CFR 200 and 2 CFR 300.

These are the specific provisions of 2 CFR 200 that went into effect for all active awards on October 1, 2024:

Provision	Previous Regulation(s)	New Regulation(s)	45 CFR Part 75 Threshold before 10/01/2024	2 CFR 200 New Threshold on or after 10/1/2024
Modified Total Direct Cost Definition	45 CFR 75.2	2 CFR 200.1	**$25,000**	**$50,000**
Equipment	45 CFR 75.2 45 CFR 75.320(e)	2 CFR 200.1, 200.313(e)	**$5,000**	**$10,000**
Unused Supplies	45 CFR 75.2 45 CFR 75.321(a)	2 CFR 200.1, 200.314(a))	**$5,000**	**$10,000**
Micro-purchase Threshold	45 CFR 75.329(a)	2 CFR 200.320	**$10,000**	**$50,000**

Provision	Previous Regulation(s)	New Regulation(s)	45 CFR Part 75 Threshold before 10/01/2024	2 CFR 200 New Threshold on or after 10/1/2024
Fixed Amount Awards Subawards	45 CFR 75.353	2 CFR 200.333	**$250,000**	**$500,000**
Closeout[1]	45 CFR 75.381	2 CFR 200.344	**90 days**	**120 days**
De Minimis Indirect Rate	45 CFR 75.414(f)	2 CFR 200.414(f)	**10%**	**15%**
Single Audit	45 CFR 75.501	2 CFR 200.501	**$750,000**	**$1,000,000**

The revised HHS Grants Policy Statement (GPS) took effect July 24, 2025. Recipients are required to comply with the HHS GPS.

Recipients are required to comply with all applicable Executive Orders.

By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

2. Acceptance of the Terms of an Award

By drawing or otherwise obtaining funds from the Department of Health and Human Services (HHS) Payment Management System (PMS), the recipient acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer (GMO) within thirty (30) days of receipt of this award notice. Once an award is accepted by a recipient, the contents of the Notice of Award (NOA) are binding on the recipient unless and until modified by a revised NOA signed by the GMO.

Certification Statement: By drawing down funds, the recipient certifies that proper financial management controls and accounting systems, to include but not limited to personnel policies and procedures, have been established to adequately administer Federal awards and funds drawn down. Recipients of HHS grants or cooperative agreement awards must comply with all

[1] See 88 FR 63591 (Sept. 15, 2023)

terms and condition of their awards, including: (a) terms and conditions included in the HHS Grants Policy Statement in effect at the time of a new, non-competing continuation, or renewal award, including the requirements of HHS grants administration regulations; (b) requirements of the authorizing statutes and implementing regulations for the program under which the award is funded; (c) applicable requirements or limitations in appropriations acts; and (d) any requirements specific to the particular award specified in program policy and guidance, the Notice of Funding Opportunity (NOFO), or the NOA.

SAMHSA encourages you to address the behavioral health needs of all people including disproportionately impacted communities in your service area.

3. Subrecipient and Subcontract Monitoring and Management

All Federal assistance programs must comply with the Subrecipient Monitoring and Management requirements described in 45 CFR 75.351 – 75.353.

Determinations: Recipients are required to make case-by-case subrecipient and contractor determinations on whether the substance of an agreement creates a Federal assistance relationship (subaward) or a procurement relationship (contract) in accordance with 45 CFR 75.351. The presence of one or more characteristics may not be present in all cases; as such, the recipient must use judgment as the substance of the relationship is more important than the form of the agreement. SAMHSA may also supply and require recipients to comply with additional guidance to support these determinations.

Contract: Recipients are responsible for ensuring that contracts contain the applicable provisions described in Appendix II of 45 CFR Part 75. The recipient is responsible for oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of the contract or purchase order. Records must be maintained by the recipient and be sufficiently detailed for compliance.

Subrecipient: Recipients are required to advise subrecipients of requirements imposed on them by Federal laws, regulations, and the provisions of award as well as any supplemental requirements imposed by the recipient. These include administrative and audit requirements (where applicable) under 45 CFR Part 75. The recipient must conduct a risk assessment of subrecipient(s) in accordance with 45 CFR 75.352(b). Additionally, all subrecipient(s) must obtain a Unique Entity Identifier number assigned by the System for Award Management (SAM.gov), if they do not already have one. Recipients are required to check SAM.gov to verify that the subrecipient(s) is/are not debarred, suspended, or ineligible. Recipients are responsible for monitoring the activities of the subrecipient to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the Terms and Conditions of the subaward, and that subaward performance goals are achieved. “Monitoring by the non-Federal entity must cover each program, function and activity.” See 45 CFR 75.342

and 75.352. Records must be maintained by the recipient and be sufficiently detailed for compliance.

4. Flow down of requirements to subrecipients

The recipient, as the awardee organization, is legally and financially responsible for all aspects of this award including funds provided to subrecipients, in accordance with 45 CFR 75.351 – 75.352, Subrecipient monitoring and management.

5. Submitting Responses to Special Terms and Conditions and Post Award Amendment Requests

Unless otherwise identified in the special terms and conditions of award and post award requests, all responses to special terms and conditions of award and post award requests must be submitted through the eRA Commons system.

6. Ad Hoc Submissions

Throughout the project period, SAMHSA may determine that a grant requires submission of additional information beyond the standard deliverables (see 45 CFR 75.301). This information may include, but is not limited to, the following:

- Payroll
- Purchase orders
- Contract documentation
- Proof of project implementation

7. Obligation Period

Recipients may allocate to the award only allowable costs incurred during the period of performance. See the NOA for the approved start and end dates of the period of performance and, if applicable, the budget period for the award. Costs incurred within a specific budget period may only be allocated to the award within the dates specified for that budget period.

8. Cost Sharing or Matching (Non-Federal Share) of Program Funding:

Some Federal financial assistance programs require the recipient to provide a portion of program funding, as specified by Federal law. Refer to the NOFO or program-specific Terms and Conditions for the requirements.

Insular Areas: As a matter of policy, SAMHSA may wave federal matching requirements for insular areas when statutory authority is available.

9. Program Income

Recipients will use the *addition method* and add program income to funds committed to the project to further eligible project objectives. Subrecipients that are for-profit commercial organizations under the same award must use the *deductive alternative* and reduce their subaward by the amount of program income earned.

Program income must be used for the original purpose of the Federal award. Program income earned during the period of performance may only be used for costs incurred during the period of performance (see 45 CFR 75.307). Program income must be expended prior to requesting additional Federal funds. Program income exceeding amounts specified in the Federal award may be added to the total allowable costs in accordance with the terms and conditions of the Federal award.

10. Award Payments

All Federal financial assistance program payments will be made available through the HHS PMS. Questions pertaining to payments should be directed to: HHS Division of Payment Management, P.O. Box 6021, Rockville, MD, 20852, or PMS Help Desk at 877-614-5533, or PMSSupport@psc.gov. Other questions should be directed to the GMS contact listed on the NOA.

Unless otherwise directed in the financial or program specific expenditure report, the HHS Program Support Center (PSC) serves as a centralized point for returning award interest and funds according to established federal law, policies, procedures, and regulations. PMS prefers that repayment be completed as an electronic transfer or by check. Refer to the Returning Funds/Interest instructions under the Recipients drop-down on the PMS website.

11. Compliance Requirements

The eligibility and program requirements originally outlined in the NOFO must continue to be adhered to as the funded project is implemented. Recipients must comply with the performance goals, milestones, outcomes, and performance data collection as reflected in the NOFO and related policy and guidance. Additional terms and/or conditions may be applied to this award if outstanding financial or programmatic compliance issues are identified by SAMHSA (see 45 CFR 75.371, Remedies for Non-compliance)

12. Points of Contact for Additional Information or Questions

Points of contact for additional information or questions concerning either the operation of the program or related financial or federal assistance award matters may be found on the NOA under Staff Contacts. The Program Official contact handles the programmatic specific needs such as program intent, goals and objectives; whereas, the Grants Specialist contact typically handles any business, financial, and administrative activities such as budget revisions, and prior approval requests.

13. HHS Office of Inspector General (OIG) Hotline

The OIG of HHS maintains the OIG Hotline, a system for reporting allegations of fraud, waste, abuse and mismanagement in Department of Health and Human Services' programs. Your information will be reviewed by a professional staff member and will remain confidential; you need not provide your name. Information provided through the website is secure and all information is safeguarded against unauthorized disclosure. Report the possible misuse of federal funds by phone or online. Provide as much detailed information as possible in your report.

Online: https://oig.hhs.gov/report-fraud
Phone: 800-HHS-TIPS (800-447-8477)
TTY: 800-377-4950
Fax: 800-223-8164
If you are a provider, HHS contractor, HHS recipient or subrecipient and want to self-disclose potential fraud in HHS programs, visit the self-disclosure webpage at: https://oig.hhs.gov/compliance/self-disclosure-info/index.asp.

14. Mandatory Disclosures

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the HHS awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in Appendix XII are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371, including suspension or debarment (See also 2 CFR Parts 180 and 376, and 31 U.S.C. 3321).

15. Future Spending

As indicated in the NOA, recommended future support reflects total costs (direct plus indirect). Funding is subject to the availability of Federal funds, satisfactory progress and continued funding is in the best interest of the Federal government.

16. Non-Supplant

Federal award funds must supplement, not replace (supplant) non-federal funds. All recipients who receive awards under programs that prohibit supplanting by law must ensure that federal funds do not supplant funds that have been budgeted for the same purpose through non-federal sources. Applicants or award recipients may be required to demonstrate and document that a reduction in non-federal resources occurred for reasons other than the receipt of expected receipt of federal funds.

17. Unallowable Costs

All costs incurred prior to the award issue date and costs not consistent with the NOFO, 45 CFR 75, and the HHS Grants Policy Statement, are not allowable under this award.

18. Administrative and National Policy Requirements

Public policy requirements are requirements with a broader national purpose than that of the Federal sponsoring program or award that an applicant/recipient must adhere to as a prerequisite to and/or condition of an award (see HHS Administrative and National Policy Requirements). Public policy requirements are established by statute, regulation, or Executive order. In some cases, they relate to general activities, such as preservation of the environment, while, in other cases they are integral to the purposes of the award-supported activities. An application funded with the release of federal funds through a grant award does not constitute or imply compliance with federal statute and regulations. Funded organizations are responsible for ensuring that their activities comply with all applicable federal regulations, refer to Part II of the HHS Grants Policy Statement.

19. Civil Rights Compliance Requirement

The Applicant hereby agrees that it will comply with Title VI of the Civil Rights Act of1964, as amended (codified at 42 U.S.C. 2000d *et seq.*), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 80); Section 504 of the Rehabilitation Act of 1973, as amended (codified at 29 U.S.C. 794), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 84); Title IX of the Education Amendments of 1972, as amended (codified at 20 U.S.C. § 1681 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86); The Age Discrimination Act of

1975, as amended (codified at 42 U.S.C. § 6101 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 91); and Section 1557 of the Patient Protection and Affordable Care Act, as amended (codified at 42 U.S.C. § 18116), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 92).

Domestic recipients, subrecipients, and contractors must file Form HHS 690, Assurance of Compliance, once with the HHS Office for Civil Rights (OCR). It is not needed for each application. The recipient must ensure that subrecipients and contractors have filed the form.

20. Title IX Compliance Requirement

By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended,20 U.S.C. §§ 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964,42 U.S.C. §§ 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.
- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. § 3729, and/or criminal liability, including under 18 U.S.C. §§ 287 and 1001

21. Universal Identifier and System of Award Management (SAM) Requirements

This award is subject to requirements as set forth in 2 CFR 25 – Universal Identifier and System for Award Management (SAM) Requirements.

This award is subject to requirements as set forth in 2 CFR 25 – Universal Identifier and System for Award Management (SAM) Requirements.

A. Requirement for System of Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you, as the recipient must maintain the currency of your information in SAM.gov, until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

B. Requirement for unique entity identifier if you are authorized (refer to the project description) to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you, unless the entity has provided its unique entity identifier to you; and

2. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

C. Definitions

For purposes of this award term:

1. SAM means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information on registration procedures may be found at SAM.gov.

2. Unique entity identifier means the identifier required for SAM registration to uniquely identify business entities.

3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart D:

   - A governmental organization, which is a state, local government, or Indian Tribe;
   - A foreign public entity;
   - A domestic or foreign nonprofit organization;
   - A domestic or foreign for-profit organization; and
   - A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

4. Subaward:

- This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient;
- The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.1 and 2 CFR 200.331).
- A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

5. Subrecipient means an entity that:
   - receives a subaward from you under this award; and
   - is accountable to you for the use of the Federal funds provided by the subaward.

22. Federal Funding Accountability and Transparency Act (FFATA)

The Federal Funding Accountability and Transparency Act (FFATA) was signed on September 26, 2006. The SAM.gov FFATA Subaward Reporting System (FSRS) is the reporting tool federal prime awardees (i.e., prime contractors and prime grants recipients) must use to capture and report subaward and executive compensation data regarding their first-tier subawards to meet the FFATA reporting requirements. Prime contract awardees must report against subcontracts awarded. Prime grant awardees will report against issued subawards. The subaward information entered in SAM.gov will be displayed in the USASpending.gov record associated with the prime award.

23. SAM.gov Responsibility Qualification (R/Q) – Recipient Integrity and Performance (Reporting of Matters Related to Recipient Integrity and Performance)

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to SAM.gov that is made available in the designated integrity and performance system called Responsibility/Qualification (R/Q) on SAM.gov about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

24. Rights in Data and Publication

As applicable, recipients agree to the requirements for intellectual property, rights in data, access to research data, publications, and sharing research tools, and intangible property and copyrights as described in 45 CFR 75.322 and the HHS Grants Policy Statement.

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. SAMHSA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

25. Conflicts of Interest

Consistent with 45 CFR 75.112, recipients must establish written policies and procedures to prevent employees, consultants, and others (including family, business, or other ties) involved in grant-supported activities, from involvement in actual or perceived conflicts of interest. The policies and procedures must:

- address conditions under which outside activities, relationships, or financial interest are proper or improper;
- provide for advance disclosure of outside activities, relationships, or financial interest to a responsible organizational official;
- include a process for notification and review by the responsible official of potential or actual violations of the standards; and
- specify the nature of penalties that may be imposed for violations.

26. Lobbying Restrictions

Per 45 CFR 75.215, Recipients are subject to the restrictions on lobbying as set forth in 45 CFR 93.

18 U.S.C. 1913 - Lobbying with appropriated moneys, No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation; but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Member or official, at his request, or to Congress or such official, through the proper official channels, requests for any legislation, law, ratification, policy, or appropriations which they deem necessary for the efficient conduct of the public business, or from making any communication

whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with the conduct of foreign policy, counter-intelligence, intelligence, or national security activities. Violations of this section shall constitute as a violation of section 1352 (a) of Title 31.

27. Drug-Free Workplace

The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq.) requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Governmentwide implementation (2 CFR 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707). By signing the application, the recipient's Authorized Organization Representative (AOR) agrees that the recipient will provide a drug-free workplace and will comply with the requirement to notify SAMHSA if an employee is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. Government wide requirements for Drug-Free Workplace for Financial Assistance are found in 2 CFR 182. HHS implementing regulations are set forth in 2 CFR 382.400.

28. Trafficking Victims Protection act of 2000

The Trafficking Victims Protection Act of 2000 authorizes termination of financial assistance provided to a private entity, without penalty to the Federal government, if the recipient or subrecipient engages in certain activities related to trafficking in persons. SAMHSA may unilaterally terminate this award, without penalty, if a private entity recipient, or a private entity subrecipient, or their employees:

- Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- Procure a commercial sex act during the period of time that the award is in effect; or,
- Use forced labor in the performance of the award or subawards under the award.

The text of the full award term is available at 2 CFR 175.105(b).

29. Confidentiality of Alcohol and Drug Abuse Patient Records

The regulations (42 CFR 2) are applicable to any information about alcohol and other drug abuse patients obtained by a "program" (42 CFR 2.11), if the program is federally assisted in any manner (42 CFR 2.12b). Accordingly, all project patient records are confidential and may be disclosed and used only in accordance with 42 CFR 2. The recipient is responsible for assuring

compliance with these regulations and principles, including responsibility for assuring the security and confidentiality of all electronically transmitted patient material.

30. Prohibition on Certain Telecommunications

As described in 2 CFR 200.216, recipients and subrecipients are prohibited to obligate or spend grant funds (to include direct and indirect expenditures as well as cost share and program) to:

- Procure or obtain;
- Extend or renew a contract to procure or obtain; or
- Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Pub. L. 115- 232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    - For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    - Telecommunications or video surveillance services provided by such entities or using such equipment.
    - Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

31. Carryover - Expanded Authority for Unobligated Balances from One Budget Period to Any Subsequent Budget Period

Federal administrative requirements allow agencies to provide recipients with expanded authorities, which waive certain cost-related and administrative prior approvals under certain conditions.

SAMHSA has extended expanded authority to recipients requesting carryover of unobligated balances (UOB) up to 25% or less for the current budget period (year when the funds are needed) provided that recipients are not on drawdown restriction.

Recipients requesting a carryover greater than 25% of the current budget period award cannot exercise this expanded authority.

Recipients who exercise expanded authority may include an Intent to Carryover statement in the Remarks section (box 12) of the annual Federal Financial Report (FFR).

Expanded authority may be overridden by other special terms or conditions of the award. For example, a recipient on drawdown restriction cannot use Expanded Authority and must submit a Formal Carryover request to carryover any amount of unobligated balance. Recipients must carefully review the NOA to determine if a particular authority is withheld for a specific award.

Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds.

For additional guidance on carryovers, see the SAMHSA website.

32. Prior Approval

SAMHSA anticipates that the recipient may need to modify the recipient's award budget or other aspects of its approved application during performance to accomplish the award's programmatic objectives. In general, recipients are allowed a certain degree of latitude to re-budget within and between budget categories to meet unanticipated needs and to make other types of post-award changes, provided that the changes still meet the statutory program requirements and the regulatory requirements under 45 CFR 75, as applicable.

Items that require prior approval (i.e., formal written approval) from the GMO, as indicated in either 45 CFR 75 or the HHS Grants Policy Statement, must be submitted in writing to the GMO. Based on the nature, extent, and timing of the request, the SAMHSA GMO may approve, deny, or request additional material to further document and evaluate your request.

Only an amended NOA signed by the GMO is considered valid. Verbal authorization is not approval and is not binding on SAMHSA. Recipients who proceed do so at their own risk.

Prior approval is required for but is not limited to: Changes in Key Personnel and Level of Effort, Budget Revisions, Changes in Scope, Carryover Requests (that fall outside the term for the Expanded Authority for Carryover), and No Cost Extensions. A list of activities that require prior approval are found in 45 CFR 75.308(c)(1). The HHS Grants Policy Statement discusses prior approvals in the Prior Approval section under Changes to Awards beginning on page 21.

Instructions regarding requests for prior approval are available on the SAMHSA website.

33. Executive Pay

For Executive Pay Salary Cap, refer to the Executive Pay section under Laws and Regulations on SAMHSA's website.

34. Advertising and Public Relations

Certain advertising costs are unallowable. Promotional items and memorabilia are unallowable for SAMHSA programs (see 45 CFR 75.421).

35. Acknowledgement of Federal Funding in communications and contracting

For each publication that results from HHS grant-supported activities, recipients must include an acknowledgment of grant support using one of the following statements:

"This publication was made possible by Grant Number _____ from _____."

"The project described was supported by Grant Number _____ from _____."

Recipients also must include a disclaimer stating the following:

"Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the [SAMHSA]."

If the recipient plans to issue a press release concerning the outcome of HHS grant-supported activities, it should notify SAMHSA in advance to allow for coordination. One copy of each publication resulting from work performed under an HHS grant-supported project must accompany the annual or final progress report submitted to SAMHSA.

36. Acknowledgement of Federal Funding at Conferences and Meetings

A conference is defined as a meeting, retreat, seminar, symposium, workshop or event whose primary purpose is the dissemination of technical information beyond the non-Federal entity and is necessary and reasonable for successful performance under the Federal award. Allowable conference costs paid by the non-Federal entity as a sponsor or host of the conference may include rental of facilities, speakers' fees, costs of meals and refreshments, local transportation, and other items incidental to such conferences unless further restricted by the terms and conditions of the Federal award. As needed, the costs of identifying, but not providing, locally available dependent-care resources are allowable. Conference hosts/sponsors must exercise discretion and judgment in ensuring that conference costs are appropriate, necessary and managed in a manner that minimizes costs to the Federal award. The HHS

awarding agency may authorize exceptions where appropriate for programs including Indian tribes, children, and the elderly. See also 45 CFR 75.438, 75.456, 75.474, and 75.475.

Disclaimer for Conference/Meeting/Seminar Materials: If a conference/meeting/seminar is funded by a grant, cooperative agreement, subaward and/or 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 SAMHSA. The views expressed in written conference materials or publications and by speakers and moderators do not necessarily reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government."

37. Rights in Data and Publications

As applicable, recipients agree to the requirements for intellectual property, rights in data, access to research data, publications, and sharing research tools, and intangible property and copyrights as described in 45 CFR 75.322 and the HHS Grants Policy Statement.

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. SAMHSA reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

38. Healthy People 2030

Healthy People 2030 is a national initiative led by HHS that set priorities for all SAMHSA programs. Healthy People 2030 is the fifth iteration of the initiative. The initiative has two major goals: (1) increase the quality and years of a healthy life; and (2) eliminate our country's health disparities. The program consists of 358 core or measurable objectives. SAMHSA has actively participated in the work groups of all the focus areas and is committed to the achievement of the Healthy People 2030 goals. The framework for Healthy People 2030 can be found on the Healthy People 2030 website.

39. Accessibility Provisions

Recipients of Federal financial assistance (FFA) from HHS must administer their programs in compliance with Federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age, and in some circumstances, sex, and religion. This includes ensuring your programs are accessible to persons with limited English proficiency.

The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS.

Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. See Discrimination on the Basis of Disability. Contact the HHS Office for Civil Rights for more information about obligations and prohibitions under Federal civil rights laws or call 1-800-368-1019 or TDD 1-800-537-7697.

40. Data Collection and Performance Measurement

All SAMHSA recipients are required to collect and report evaluation data to ensure the effectiveness and efficiency of its programs under the Government Performance and Results (GPRA) Modernization Act of 2010 (P.L. 102-62). Recipients must comply with the performance goals, milestones, and expected outcomes as reflected in the NOFO and are required to submit data via SAMHSA's data-entry and reporting system.

GPRA tools are being updated to comply with the Presidential Executive Orders.

Contact your Government Project Officer (GPO) for additional submission information.

41. Legislative Mandates

Certain statutory provisions under P.L. 115-245, Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019, Division B, Title V, Title II, General Provisions limit the use of funds on SAMHSA grants, cooperative agreements, and contract awards. Such provisions are subject to change annually based on specific appropriation language that restricts the use of grant funds. Refer to the full text of P.L. 115-245.

42. Health Information Technology Interoperability

When your activities involve implementing, acquiring, or upgrading health IT, you and your subrecipients will:

- Meet the standards and specifications in 45 CFR 170, subpart B, if those standards support the activity.
- If the activities relate to activities of eligible clinicians in ambulatory settings or hospitals under Sections 4101, 4102, and 4201 of the HITECH Act, you will use only health IT certified by the Office of the National Coordinator for Health Information Technology (ONC) Health IT Certification Program.
- If standards and implementation specifications in 45 CFR 170, subpart B cannot support the activity, we encourage you to use health IT that meets non-proprietary standards

and specifications of consensus-based standards development organizations. This may include standards identified in the ONC Interoperability Standards Advisory. For more information, review HHS Health IT Alignment Policy | HHS Intranet and HHS Health IT Alignment Policy | HealthIT.gov.

43. Audits

Non-Federal recipients that expend $1,000,000 or more in federal awards during the recipient's fiscal year must have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200.501. Guidance on determining Federal awards expended is provided in 2 CFR 200.502.

Recipients are responsible for submitting their Single Audit Reports and workbooks (SF-SAC) electronically to the to the Federal Audit Clearinghouse (FAC) within the earlier of 30 days after receipt or nine months after the FY's end of the audit period. The FAC operates on behalf of the OMB.

For specific questions and information concerning the submission process:

- Visit the FAC.gov
- Contact the FAC Helpdesk

44. Risk Assessment

SAMHSA may perform an administrative review of your organization's financial management system. If the review discloses material weaknesses or other financial management concerns, grant funding may be restricted in accordance with 45 CFR 75/2 CFR 200, as applicable. The restriction will affect your organization's ability to withdraw funds from the PMS account, until the concerns are addressed.

45. Closeout Requirements

In accordance with 2 CFR 200.344, award recipients must submit all final reports and liquidate all obligations no later than 120 days after the conclusion of the period of performance.

Required Final reports:

- Final Federal Financial Report (Final FFR, SF-425)
- Final Progress Report (FPR)
- Final Tangible Personal Property Report (Final TPPR, SF-428B and the SF-428S, as applicable)

Liquidation Period:

After one hundred twenty (120) days, the PMS account is automatically locked. SAMHSA does not approve payment requests after the one hundred twenty (120) day liquidation of obligations period; therefore, late drawdown requests occurring after the 120 days will be denied.

Failure to submit acceptable final reports in accordance with 2 CFR 200.344, SAMHSA correspondence and the terms and conditions of the Federal award may result in a unilateral closeout. SAMHSA may proceed to unilaterally close out the award with the information available unless otherwise directed by authorizing statute. When an award is unilaterally closed, SAMHSA will report the recipient's material failure to comply with the terms and conditions of the Federal award in SAM.gov (Responsibility/Qualification Records). SAMHSA may also pursue other enforcement actions as appropriate (refer to 45 CFR 75.371, 2 CFR 200.339).

Additional closeout information and instruction on submitting reports is available at https://www.samhsa.gov/grants/grants-management/grant-closeout.

46. Cancel Year

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

47. Termination

Prior to October 1, 2025, this award is subject to the termination provisions at 45 CFR 75.372. Starting on October 1, 2025, this award is subject to the termination provisions at 2 CFR 200.340. Pursuant to 2 CFR 200.340, the recipient agrees by accepting this award that continued funding for the award is contingent upon the availability of appropriated funds, recipient satisfactory performance, compliance with the Terms and Conditions of the award, and a decision by the agency that the award continues to effectuate program goals or agency priorities.

Prior to October 1, 2025, termination (45 CFR 75.372) applies to this award and states, in part, the following:

This award may be terminated in whole or in part:

- By the HHS awarding agency (SAMHSA) or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;

- By the HHS awarding agency (SAMHSA) or pass-through entity for cause;

- By the HHS awarding agency (SAMHSA) or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated;

- By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

Starting on October 1, 2025, termination (2 CFR 200.340) applies to this award and states, in part, the following:

The Federal award may be terminated in part or its entirety as follows:

- By the Federal agency or pass-through entity if the recipient or subrecipient fails to comply with the terms and conditions of the Federal award;

- By the Federal agency or pass-through entity with the consent of the recipient or subrecipient, in which case the two parties must agree upon the termination conditions. These conditions include the effective date and, in the case of partial termination, the portion to be terminated;

- By the recipient or subrecipient upon sending the Federal agency or pass-through entity a written notification of the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal agency or pass-through entity determines that the remaining portion of the Federal award will not accomplish the purposes for which the Federal award was made, the Federal agency or pass-through entity may terminate the Federal award in its entirety; or

- By the Federal agency or pass-through entity pursuant to the terms and conditions of the Federal award, including, to the extent authorized by law, if an award no longer effectuates the program goals or agency priorities.

SAMHSA is required to report any terminations the designated integrity and performance system called Responsibility/Qualification (R/Q) on SAM.gov (45 CFR 75.372(b)).

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Mental Health Services

Notice of Award
FAIN# H79SM088928
Federal Award Date
02/28/2025

Recipient Information

1. Recipient Name
COMMUNITY CARE ALLIANCE
800 CLINTON ST STE 302
WOONSOCKET, RI 02895

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Dorothy Yeamen

8. Authorized Official
Benedict Lessing
blessing@communitycareri.org
401-235-7223

Federal Agency Information

9. Awarding Agency Contact Information
Thompson Von Agner
Grants Specialist
Thompson.VonAgner@samhsa.hhs.gov
240-276-1445

10. Program Official Contact Information
Mary Blake
Program Official
mary.blake@samhsa.hhs.gov
(240) 276-1747

Federal Award Information

11. Award Number
5H79SM088928-02 Revision 4 (Administrative Change)

12. Unique Federal Award Identification Number (FAIN)
H79SM088928

13. Statutory Authority
Section 520A (42 USC 290bb–32) of the PHS Act, as amended

14. Federal Award Project Title
The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

15. Assistance Listing Number
93.696

16. Assistance Listing Program Title
Certified Community Behavioral Health Clinics

17. Award Action Type
Non-Competing Continuation (REVISED)

18. Is the Award R&D?
No

Summary Federal Award Financial Information	
19. Budget Period Start Date 09/30/2024 **– End Date** 09/29/2025	
20. Total Amount of Federal Funds Obligated by this Action	$0
20a. Direct Cost Amount	$0
20b. Indirect Cost Amount	$0
21. Authorized Carryover	
22. Offset	
23. Total Amount of Federal Funds Obligated this budget period	$1,000,000
24. Total Approved Cost Sharing or Matching, where applicable	$0
25. Total Federal and Non-Federal Approved this Budget Period	$1,000,000
26. Project Period Start Date 09/30/2023 **– End Date** 09/29/2027	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	$2,000,000

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
Thompson Von Agner

30. Remarks

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

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Notice of Award

FY 2023 CCBHC-IA **Issue Date:** 02/28/2025

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

Award Number: 5H79SM088928-02 Revision 4
FAIN: H79SM088928
Program Director: Dorothy Yeamen

Project Title: The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

Organization Name: COMMUNITY CARE ALLIANCE

Authorized Official: Benedict Lessing

Authorized Official e-mail address: blessing@communitycareri.org

Budget Period: 09/30/2024 – 09/29/2025
Project Period: 09/30/2023 – 09/29/2027

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COMMUNITY CARE ALLIANCE in support of the above referenced project. This award is pursuant to the authority of Section 520A (42 USC 290bb–32) of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

This award addresses the following Amendment requests:

- Change in Key Personnel and/or Level of Effort (6H79SM088928-02L001)

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Thompson Von Agner
Grants Management Officer
Division of Grants Management
Thompson.VonAgner@samhsa.hhs.gov
See additional information below

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SECTION I – AWARD DATA – 5H79SM088928-02 REVISED

Award Calculation (U.S. Dollars)	
Personnel(non-research)	$560,286
Fringe Benefits	$183,023
Supplies	$12,226
Contractual	$109,955
Other	$13,125
Direct Cost	$878,615
Indirect Cost	$121,385
Approved Budget	$1,000,000
Federal Share	$1,000,000
Cumulative Prior Awards for this Budget Period	$1,000,000
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$0

SUMMARY TOTALS FOR ALL YEARS	
YR	**AMOUNT**
2	$1,000,000
3	$1,000,000
4	$1,000,000

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

Fiscal Information:

CFDA Number:	93.696
EIN:	1050312278A5
Document Number:	23SM88928A
Fiscal Year:	2024

IC	**CAN**	**Amount**
SM	C96J816	$1,000,000

IC	CAN	2024	2025	2026
SM	C96J816	$1,000,000	$1,000,000	$1,000,000

SM Administrative Data:
PCC: CBHCIA23 / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM088928-02 REVISED

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

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a. The grant program legislation and program regulation cited in this Notice of Award.
b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
c. 45 CFR Part 75 as applicable.
d. The HHS Grants Policy Statement.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than $10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

SECTION IV – SM SPECIAL TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

REMARKS

Post Award Amendment - Administrative Change

This Notice of Award is an administrative change to associate **Award Number 5H79SM088928-02** to the corresponding L record **L001**. No additional changes to the Change in Key Personnel award #5H79SM088928-02.

Standard Terms of Award

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

STANDARD TERMS AND CONDITIONS

Standard Terms for Awards

Your organization must comply with the Standard Terms and Conditions for the Fiscal Year in which your grant was awarded. The Fiscal Year for your award is identified on your Notice of Award. SAMHSA's Terms and Conditions webpage is located at https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

Standards for Financial Management
Recipients and subrecipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75 Subpart D. The financial systems must enable the recipient and subrecipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system

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must also enable the recipient and subrecipient to compare actual expenditures or outlays with the approved budget for the award. SAMHSA funds must retain their specific identity – they may not be commingled with non-federal funds or other federal funds. Commingling funds typically means depositing or recording funds in a general account without the ability to identify each specific source of funds with related expenditures.

Reasonable Costs for Consideration
Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds according to Reasonable Costs consideration per 2 CFR 200.404 and the Factors affecting allowability of costs per 2 CFR 200.403. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

Consistent Treatment of Costs
Recipients must treat costs consistently across all federal and non-federal grants, projects and cost centers. Recipients may not direct-charge federal grants for costs typically considered indirect in nature, unless done consistently. If part of the indirect cost rate, then it may not also be charged as a direct cost. Examples of indirect costs include (administrative salaries, rent, accounting fees, utilities, office supplies, etc.). If typical indirect cost categories are included in the budget as direct costs, it is SAMHSA s understanding that your organization has developed a cost accounting system adequate to justify the direct charges and to avoid an unfair allocation of these costs to the federal government. Also, note that all awards are subject to later review in accordance with the requirements of 45 CFR 75.364, 45 CFR 75.371, 45 CFR 75.386 and 45 CFR Part 75, Subpart F, Audit Requirements.

Compliance with Terms and Conditions
FAILURE TO COMPLY WITH TERMS AND CONDITIONS MAY RESULT IN ACTIONS IN ACCORDANCE WITH 45 CFR 75.371, REMEDIES FOR NON-COMPLIANCE AND 45 CFR 75.372 TERMINATION. THIS MAY INCLUDE WITHHOLDING PAYMENT, DISALLOWANCE OF COSTS, SUSPENSION AND DEBARMENT, TERMINATION OF THIS AWARD, OR DENIAL OF FUTURE FUNDING.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

Staff Contacts:

Mary Blake, Program Official
Phone: (240) 276-1747 **Email:** mary.blake@samhsa.hhs.gov **Fax:** (240) 276-1970

Thompson Von Agner, Grants Specialist
Phone: 240-276-1445 **Email:** Thompson.VonAgner@samhsa.hhs.gov

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Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Mental Health Services

Notice of Award
FAIN# H79SM088928
Federal Award Date
07/29/2025

Recipient Information

1. Recipient Name
COMMUNITY CARE ALLIANCE
800 CLINTON ST STE 302
WOONSOCKET, RI 02895

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Emily Steely

esteely@communitycareri.org
401-533-0025

8. Authorized Official
Benedict Lessing
blessing@communitycareri.org
401-235-7223

Federal Agency Information

9. Awarding Agency Contact Information
Thompson Von Agner
Grants Specialist
Thompson.VonAgner@samhsa.hhs.gov
240-276-1445

10. Program Official Contact Information
Mary Blake
Program Official
mary.blake@samhsa.hhs.gov
(240) 276-1747

Federal Award Information

11. Award Number
5H79SM088928-02 Revision 5 (Change in Key Personnel and/or Level of Effort)

12. Unique Federal Award Identification Number (FAIN)
H79SM088928

13. Statutory Authority
Section 520A (42 USC 290bb–32) of the PHS Act, as amended

14. Federal Award Project Title
The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

15. Assistance Listing Number
93.696

16. Assistance Listing Program Title
Certified Community Behavioral Health Clinics

17. Award Action Type
Non-Competing Continuation (REVISED)

18. Is the Award R&D?
No

Summary Federal Award Financial Information	
19. Budget Period Start Date 09/30/2024 **– End Date** 09/29/2025	
20. Total Amount of Federal Funds Obligated by this Action	$0
20a. Direct Cost Amount	$0
20b. Indirect Cost Amount	$0
21. Authorized Carryover	
22. Offset	
23. Total Amount of Federal Funds Obligated this budget period	$1,000,000
24. Total Approved Cost Sharing or Matching, where applicable	$0
25. Total Federal and Non-Federal Approved this Budget Period	$1,000,000
26. Project Period Start Date 09/30/2023 **– End Date** 09/29/2027	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	$2,000,000

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
Thompson Von Agner

30. Remarks

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

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Notice of Award

FY 2023 CCBHC-IA **Issue Date:** 07/29/2025

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

Award Number: 5H79SM088928-02 Revision 5
FAIN: H79SM088928
Program Director: Emily Steely

Project Title: The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

Organization Name: COMMUNITY CARE ALLIANCE

Authorized Official: Benedict Lessing

Authorized Official e-mail address: blessing@communitycareri.org

Budget Period: 09/30/2024 – 09/29/2025
Project Period: 09/30/2023 – 09/29/2027

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COMMUNITY CARE ALLIANCE in support of the above referenced project. This award is pursuant to the authority of Section 520A (42 USC 290bb–32) of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

This award addresses the following Amendment requests:

- Change in Key Personnel and/or Level of Effort (6H79SM088928-02L002)

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Thompson Von Agner
Grants Management Officer
Division of Grants Management
Thompson.VonAgner@samhsa.hhs.gov
See additional information below

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SECTION I – AWARD DATA – 5H79SM088928-02 REVISED

Award Calculation (U.S. Dollars)	
Personnel(non-research)	$560,286
Fringe Benefits	$183,023
Supplies	$12,226
Contractual	$109,955
Other	$13,125
Direct Cost	$878,615
Indirect Cost	$121,385
Approved Budget	$1,000,000
Federal Share	$1,000,000
Cumulative Prior Awards for this Budget Period	$1,000,000
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$0

SUMMARY TOTALS FOR ALL YEARS	
YR	**AMOUNT**
2	$1,000,000
3	$1,000,000
4	$1,000,000

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

Fiscal Information:

CFDA Number:	93.696
EIN:	1050312278A5
Document Number:	23SM88928A
Fiscal Year:	2024

IC	**CAN**	**Amount**
SM	C96J816	$1,000,000

IC	CAN	2024	2025	2026
SM	C96J816	$1,000,000	$1,000,000	$1,000,000

SM Administrative Data:
PCC: CBHCIA23 / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM088928-02 REVISED

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

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a. The grant program legislation and program regulation cited in this Notice of Award.
b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
c. 45 CFR Part 75 as applicable.
d. The HHS Grants Policy Statement.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

SECTION IV – SM SPECIAL TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

REMARKS

Post Award Amendment - Change in Key Personnel

This award approves the key personnel change per the ***post award amendment*** request submitted **June 30, 2025.**

This award also reflects acceptance of the response(s) to the Request for Additional Materials (RAM) received on **July 24, 2025.**

- ***Emily Steely, Project Director @ 50% level of effort***

Organizations receiving Federal Funds may not exceed 100% level of effort combined across all funding sources (federal and non-federal) for any program staff member, Key Personnel or otherwise.

Any changes to Key Personnel, including level of effort involving separation from the project for any continuous period of three months or longer, or a reduction in time dedicated to the project of 25% or more, requires prior approval and must be submitted as a post award amendment in eRA Commons.

Note: If an organization is awarded a grant and chooses to move forward with hiring an individual for a Key Personnel position before receiving SAMHSA formal approval, this will be done at the organization's own risk.

For additional information on post award amendment requirements, please visit the SAMHSA website: https://www.samhsa.gov/grants/grants-management/post-award-amendments.

STANDARD TERMS AND CONDITIONS

Standard Terms for Awards

Effective Date: The updated HHS Grants Policy Statement (GPS) is effective as of **April 2025**.

Your organization must comply with the **Standard Terms and Conditions** for the Fiscal Year in which your grant was awarded. Access: SAMHSA Standard Terms and Conditions

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

Version: 201 - 12/14/2023 2:33 PM | Generated on: 7/29/2025 12:01 AM

Staff Contacts:

Mary Blake, Program Official
Phone: (240) 276-1747 **Email:** mary.blake@samhsa.hhs.gov **Fax:** (240) 276-1970

Thompson Von Agner, Grants Specialist
Phone: 240-276-1445 **Email:** Thompson.VonAgner@samhsa.hhs.gov

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Mental Health Services

Notice of Award
FAIN# H79SM088928
Federal Award Date
01/01/2025

Recipient Information

1. Recipient Name
COMMUNITY CARE ALLIANCE
800 CLINTON ST STE 302
WOONSOCKET, RI 02895

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Dorothy Yeamen

DYeamen@CommunityCareRI.org
401-533-0025

8. Authorized Official
Benedict Lessing
blessing@communitycareri.org
401-235-7223

Federal Agency Information

9. Awarding Agency Contact Information
Thompson Von Agner
Grants Specialist
Thompson.VonAgner@samhsa.hhs.gov
240-276-1445

10. Program Official Contact Information
Mary Blake
Program Official
mary.blake@samhsa.hhs.gov
(240) 276-1747

Federal Award Information

11. Award Number
5H79SM088928-02 Revision 2 (Change in Terms and Conditions)

12. Unique Federal Award Identification Number (FAIN)
H79SM088928

13. Statutory Authority
Section 520A (42 USC 290bb–32) of the PHS Act, as amended

14. Federal Award Project Title
The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

15. Assistance Listing Number
93.696

16. Assistance Listing Program Title
Certified Community Behavioral Health Clinics

17. Award Action Type
Non-Competing Continuation (REVISED)

18. Is the Award R&D?
No

Summary Federal Award Financial Information	
19. Budget Period Start Date 09/30/2024 **– End Date** 09/29/2025	
20. Total Amount of Federal Funds Obligated by this Action	$0
20a. Direct Cost Amount	$-21,657
20b. Indirect Cost Amount	$21,657
21. Authorized Carryover	
22. Offset	
23. Total Amount of Federal Funds Obligated this budget period	$1,000,000
24. Total Approved Cost Sharing or Matching, where applicable	$0
25. Total Federal and Non-Federal Approved this Budget Period	$1,000,000
26. Project Period Start Date 09/30/2023 **– End Date** 09/29/2027	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	$2,000,000

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
Thompson Von Agner

30. Remarks

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

Version: 201 - 12/14/2023 2:33 PM | Generated on: 1/1/2025 12:03 AM

Notice of Award

FY 2023 CCBHC-IA **Issue Date:** 01/01/2025

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

Award Number: 5H79SM088928-02 Revision 2
FAIN: H79SM088928
Program Director: Dorothy Yeamen

Project Title: The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

Organization Name: COMMUNITY CARE ALLIANCE

Authorized Official: Benedict Lessing

Authorized Official e-mail address: blessing@communitycareri.org

Budget Period: 09/30/2024 – 09/29/2025
Project Period: 09/30/2023 – 09/29/2027

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COMMUNITY CARE ALLIANCE in support of the above referenced project. This award is pursuant to the authority of Section 520A (42 USC 290bb–32) of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Thompson Von Agner
Grants Management Officer
Division of Grants Management
Thompson.VonAgner@samhsa.hhs.gov
See additional information below

Version: 201 - 12/14/2023 2:33 PM | Generated on: 1/1/2025 12:03 AM

SECTION I – AWARD DATA – 5H79SM088928-02 REVISED

Award Calculation (U.S. Dollars)	
Personnel(non-research)	$560,286
Fringe Benefits	$183,023
Supplies	$12,226
Contractual	$109,955
Other	$13,125
Direct Cost	$878,615
Indirect Cost	$121,385
Approved Budget	$1,000,000
Federal Share	$1,000,000
Cumulative Prior Awards for this Budget Period	$1,000,000
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$0

SUMMARY TOTALS FOR ALL YEARS	
YR	**AMOUNT**
2	$1,000,000
3	$1,000,000
4	$1,000,000

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

Fiscal Information:

CFDA Number:	93.696
EIN:	1050312278A5
Document Number:	23SM88928A
Fiscal Year:	2024

IC	**CAN**	**Amount**
SM	C96J816	$1,000,000

IC	CAN	2024	2025	2026
SM	C96J816	$1,000,000	$1,000,000	$1,000,000

SM Administrative Data:
PCC: CBHCIA23 / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM088928-02 REVISED

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

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a. The grant program legislation and program regulation cited in this Notice of Award.
b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
c. 45 CFR Part 75 as applicable.
d. The HHS Grants Policy Statement.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than $10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

SECTION IV – SM SPECIAL TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

REMARKS

Removal of Special Condition of Award

This award removes the following **Special Condition of Award:**

- **SF-424, SF-424A, and Revised Detailed Budget with Narrative Justification** due on **October 30, 2024,** based on the documentation received on **December 13, 2024.**

Standard Terms of Award

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

STANDARD TERMS AND CONDITIONS

Standard Terms for Awards

Your organization must comply with the Standard Terms and Conditions for the Fiscal Year in which your grant was awarded. The Fiscal Year for your award is identified on your Notice of Award. SAMHSA's Terms and Conditions webpage is located at https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

Standards for Financial Management

Recipients and subrecipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75 Subpart D. The

financial systems must enable the recipient and subrecipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient and subrecipient to compare actual expenditures or outlays with the approved budget for the award. SAMHSA funds must retain their specific identity − they may not be commingled with non-federal funds or other federal funds. Commingling funds typically means depositing or recording funds in a general account without the ability to identify each specific source of funds with related expenditures.

Reasonable Costs for Consideration

Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds according to Reasonable Costs consideration per 2 CFR 200.404 and the Factors affecting allowability of costs per 2 CFR 200.403. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

Consistent Treatment of Costs

Recipients must treat costs consistently across all federal and non-federal grants, projects and cost centers. Recipients may not direct-charge federal grants for costs typically considered indirect in nature, unless done consistently. If part of the indirect cost rate, then it may not also be charged as a direct cost. Examples of indirect costs include (administrative salaries, rent, accounting fees, utilities, office supplies, etc.). If typical indirect cost categories are included in the budget as direct costs, it is SAMHSA s understanding that your organization has developed a cost accounting system adequate to justify the direct charges and to avoid an unfair allocation of these costs to the federal government. Also, note that all awards are subject to later review in accordance with the requirements of 45 CFR 75.364, 45 CFR 75.371, 45 CFR 75.386 and 45 CFR Part 75, Subpart F, Audit Requirements.

Compliance with Terms and Conditions

FAILURE TO COMPLY WITH TERMS AND CONDITIONS MAY RESULT IN ACTIONS IN ACCORDANCE WITH 45 CFR 75.371, REMEDIES FOR NON-COMPLIANCE AND 45 CFR 75.372 TERMINATION. THIS MAY INCLUDE WITHHOLDING PAYMENT, DISALLOWANCE OF COSTS, SUSPENSION AND DEBARMENT, TERMINATION OF THIS AWARD, OR DENIAL OF FUTURE FUNDING.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

Staff Contacts:

Mary Blake, Program Official
Phone: (240) 276-1747 **Email:** mary.blake@samhsa.hhs.gov **Fax:** (240) 276-1970

Thompson Von Agner, Grants Specialist
Phone: 240-276-1445 **Email:** Thompson.VonAgner@samhsa.hhs.gov

Version: 201 - 12/14/2023 2:33 PM | Generated on: 1/1/2025 12:03 AM

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Mental Health Services

Notice of Award
FAIN# H79SM088928
Federal Award Date
02/21/2025

Recipient Information

1. Recipient Name
COMMUNITY CARE ALLIANCE
800 CLINTON ST STE 302
WOONSOCKET, RI 02895

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Dorothy Yeamen

DYeamen@CommunityCareRI.org
401-533-0025

8. Authorized Official
Benedict Lessing
blessing@communitycareri.org
401-235-7223

Federal Agency Information

9. Awarding Agency Contact Information
Thompson Von Agner
Grants Specialist
Thompson.VonAgner@samhsa.hhs.gov
240-276-1445

10. Program Official Contact Information
Mary Blake
Program Official
mary.blake@samhsa.hhs.gov
(240) 276-1747

Federal Award Information

11. Award Number
5H79SM088928-02 Revision 3 (Change in Key Personnel and/or Level of Effort)

12. Unique Federal Award Identification Number (FAIN)
H79SM088928

13. Statutory Authority
Section 520A (42 USC 290bb–32) of the PHS Act, as amended

14. Federal Award Project Title
The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

15. Assistance Listing Number
93.696

16. Assistance Listing Program Title
Certified Community Behavioral Health Clinics

17. Award Action Type
Non-Competing Continuation (REVISED)

18. Is the Award R&D?
No

Summary Federal Award Financial Information	
19. Budget Period Start Date 09/30/2024 **– End Date** 09/29/2025	
20. Total Amount of Federal Funds Obligated by this Action	$0
20a. Direct Cost Amount	$0
20b. Indirect Cost Amount	$0
21. Authorized Carryover	
22. Offset	
23. Total Amount of Federal Funds Obligated this budget period	$1,000,000
24. Total Approved Cost Sharing or Matching, where applicable	$0
25. Total Federal and Non-Federal Approved this Budget Period	$1,000,000
26. Project Period Start Date 09/30/2023 **– End Date** 09/29/2027	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	$2,000,000

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
Thompson Von Agner

30. Remarks

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

Version: 201 - 12/14/2023 2:33 PM | Generated on: 2/21/2025 12:04 AM

Notice of Award

FY 2023 CCBHC-IA **Issue Date:** 02/21/2025

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

Award Number: 5H79SM088928-02 Revision 3
FAIN: H79SM088928
Program Director: Dorothy Yeamen

Project Title: The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

Organization Name: COMMUNITY CARE ALLIANCE

Authorized Official: Benedict Lessing

Authorized Official e-mail address: blessing@communitycareri.org

Budget Period: 09/30/2024 – 09/29/2025
Project Period: 09/30/2023 – 09/29/2027

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COMMUNITY CARE ALLIANCE in support of the above referenced project. This award is pursuant to the authority of Section 520A (42 USC 290bb–32) of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Thompson Von Agner
Grants Management Officer
Division of Grants Management
Thompson.VonAgner@samhsa.hhs.gov
See additional information below

Version: 201 - 12/14/2023 2:33 PM | Generated on: 2/21/2025 12:04 AM

SECTION I – AWARD DATA – 5H79SM088928-02 REVISED

Award Calculation (U.S. Dollars)	
Personnel(non-research)	$560,286
Fringe Benefits	$183,023
Supplies	$12,226
Contractual	$109,955
Other	$13,125
Direct Cost	$878,615
Indirect Cost	$121,385
Approved Budget	$1,000,000
Federal Share	$1,000,000
Cumulative Prior Awards for this Budget Period	$1,000,000
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$0

SUMMARY TOTALS FOR ALL YEARS	
YR	**AMOUNT**
2	$1,000,000
3	$1,000,000
4	$1,000,000

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

Fiscal Information:

CFDA Number:	93.696
EIN:	1050312278A5
Document Number:	23SM88928A
Fiscal Year:	2024

IC	**CAN**	**Amount**
SM	C96J816	$1,000,000

IC	CAN	2024	2025	2026
SM	C96J816	$1,000,000	$1,000,000	$1,000,000

SM Administrative Data:
PCC: CBHCIA23 / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM088928-02 REVISED

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

Version: 201 - 12/14/2023 2:33 PM | Generated on: 2/21/2025 12:04 AM

a. The grant program legislation and program regulation cited in this Notice of Award.
b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
c. 45 CFR Part 75 as applicable.
d. The HHS Grants Policy Statement.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than $10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

SECTION IV – SM SPECIAL TERMS AND CONDITIONS – 5H79SM088928-02 REVISED

REMARKS

Post Award Amendment - Change in Key Personnel

This award approves the key personnel change per the ***post award amendment*** request submitted **January 30, 2025.**

This award also reflects acceptance of the response(s) to the Request for Additional Materials (RAM) received on **February 17, 2025.**

- **Dorothy Yeamen, Project Director @ 25% level of effort**
- **Kristen Moreau, Project Director @ 25% level of effort**

Organizations receiving Federal Funds may not exceed 100% level of effort combined across all funding sources (federal and non-federal) for any program staff member, Key Personnel or otherwise.

Any changes to Key Personnel, including level of effort involving separation from the project for any continuous period of three months or longer, or a reduction in time dedicated to the project of 25% or more, requires prior approval and must be submitted as a post award amendment in eRA Commons.

Note: If an organization is awarded a grant and chooses to move forward with hiring an individual for a Key Personnel position before receiving SAMHSA formal approval, this will be done at the organization's own risk.

For additional information on post award amendment requirements, please visit the SAMHSA website: https://www.samhsa.gov/grants/grants-management/post-award-amendments.

STANDARD TERMS AND CONDITIONS

Standard Terms for Awards

Version: 201 - 12/14/2023 2:33 PM | Generated on: 2/21/2025 12:04 AM

Your organization must comply with the Standard Terms and Conditions for the Fiscal Year in which your grant was awarded. The Fiscal Year for your award is identified on your Notice of Award. SAMHSA's Terms and Conditions webpage is located at https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

Standards for Financial Management
Recipients and subrecipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75 Subpart D. The financial systems must enable the recipient and subrecipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient and subrecipient to compare actual expenditures or outlays with the approved budget for the award. SAMHSA funds must retain their specific identity – they may not be commingled with non-federal funds or other federal funds. Commingling funds typically means depositing or recording funds in a general account without the ability to identify each specific source of funds with related expenditures.

Reasonable Costs for Consideration
Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds according to Reasonable Costs consideration per 2 CFR 200.404 and the Factors affecting allowability of costs per 2 CFR 200.403. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

Consistent Treatment of Costs
Recipients must treat costs consistently across all federal and non-federal grants, projects and cost centers. Recipients may not direct-charge federal grants for costs typically considered indirect in nature, unless done consistently. If part of the indirect cost rate, then it may not also be charged as a direct cost. Examples of indirect costs include (administrative salaries, rent, accounting fees, utilities, office supplies, etc.). If typical indirect cost categories are included in the budget as direct costs, it is SAMHSA s understanding that your organization has developed a cost accounting system adequate to justify the direct charges and to avoid an unfair allocation of these costs to the federal government. Also, note that all awards are subject to later review in accordance with the requirements of 45 CFR 75.364, 45 CFR 75.371, 45 CFR 75.386 and 45 CFR Part 75, Subpart F, Audit Requirements.

Compliance with Terms and Conditions
FAILURE TO COMPLY WITH TERMS AND CONDITIONS MAY RESULT IN ACTIONS IN ACCORDANCE WITH 45 CFR 75.371, REMEDIES FOR NON-COMPLIANCE AND 45 CFR 75.372 TERMINATION. THIS MAY INCLUDE WITHHOLDING PAYMENT, DISALLOWANCE OF COSTS, SUSPENSION AND DEBARMENT, TERMINATION OF THIS AWARD, OR DENIAL OF FUTURE FUNDING.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

Staff Contacts:

Mary Blake, Program Official
Phone: (240) 276-1747 **Email:** mary.blake@samhsa.hhs.gov **Fax:** (240) 276-1970

Thompson Von Agner, Grants Specialist
Phone: 240-276-1445 **Email:** Thompson.VonAgner@samhsa.hhs.gov

Version: 201 - 12/14/2023 2:33 PM | Generated on: 2/21/2025 12:04 AM

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Mental Health Services

Notice of Award
FAIN# H79SM088928
Federal Award Date
09/15/2025

Recipient Information

1. Recipient Name
COMMUNITY CARE ALLIANCE
800 CLINTON ST STE 302
WOONSOCKET, RI 02895

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Emily Steely

esteely@communitycareri.org

8. Authorized Official
Benedict Lessing
blessing@communitycareri.org
401-235-7223

Federal Agency Information

9. Awarding Agency Contact Information
Thompson Von Agner
Grants Specialist
Thompson.VonAgner@samhsa.hhs.gov
240-276-1445

10. Program Official Contact Information
Abdallah Ibrahim
Program Official
Abdallah.Ibrahim@samhsa.hhs.gov
240-276-1833

Federal Award Information

11. Award Number
5H79SM088928-03

12. Unique Federal Award Identification Number (FAIN)
H79SM088928

13. Statutory Authority
Section 520A (42 USC 290bb–32) of the PHS Act, as amended

14. Federal Award Project Title
The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

15. Assistance Listing Number
93.696

16. Assistance Listing Program Title
Certified Community Behavioral Health Clinics

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information	
19. Budget Period Start Date 09/30/2025 **– End Date** 09/29/2026	
20. Total Amount of Federal Funds Obligated by this Action	$1,000,000
20a. Direct Cost Amount	$877,710
20b. Indirect Cost Amount	$122,290
21. Authorized Carryover	
22. Offset	
23. Total Amount of Federal Funds Obligated this budget period	$1,000,000
24. Total Approved Cost Sharing or Matching, where applicable	$0
25. Total Federal and Non-Federal Approved this Budget Period	$1,000,000
26. Project Period Start Date 09/30/2023 **– End Date** 09/29/2027	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	$3,000,000

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
Lesley Schrier

30. Remarks

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

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Notice of Award

FY 2023 CCBHC-IA **Issue Date:** 09/15/2025

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Mental Health Services

Award Number: 5H79SM088928-03
FAIN: H79SM088928
Program Director: Emily Steely

Project Title: The Community Care Alliance grant will provide enhanced clinical programming that meets CCBHC standards to ensure improved access, quality and outcomes for a diverse at-risk population.

Organization Name: COMMUNITY CARE ALLIANCE

Authorized Official: Benedict Lessing

Authorized Official e-mail address: blessing@communitycareri.org

Budget Period: 09/30/2025 – 09/29/2026
Project Period: 09/30/2023 – 09/29/2027

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of $1,000,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COMMUNITY CARE ALLIANCE in support of the above referenced project. This award is pursuant to the authority of Section 520A (42 USC 290bb–32) of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Lesley Schrier
Grants Management Officer
Division of Grants Management
lesley.schrier@samhsa.hhs.gov
See additional information below

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SECTION I – AWARD DATA – 5H79SM088928-03

Award Calculation (U.S. Dollars)	
Personnel(non-research)	$543,309
Fringe Benefits	$178,670
Supplies	$9,807
Contractual	$113,399
Other	$32,525
Direct Cost	$877,710
Indirect Cost	$122,290
Approved Budget	$1,000,000
Federal Share	$1,000,000
Cumulative Prior Awards for this Budget Period	$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$1,000,000

SUMMARY TOTALS FOR ALL YEARS	
YR	**AMOUNT**
3	$1,000,000
4	$1,000,000

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

Fiscal Information:

CFDA Number:	93.696
EIN:	1050312278A5
Document Number:	23SM88928A
Fiscal Year:	2025

IC	**CAN**	**Amount**
SM	C96J816	$1,000,000

IC	CAN	2025	2026
SM	C96J816	$1,000,000	$1,000,000

SM Administrative Data:
PCC: CBHCIA23 / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79SM088928-03

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5H79SM088928-03

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

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a. The grant program legislation and program regulation cited in this Notice of Award.
b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
c. 45 CFR Part 75 as applicable.
d. The HHS Grants Policy Statement.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

SECTION IV – SM SPECIAL TERMS AND CONDITIONS – 5H79SM088928-03

REMARKS

Federal Terms and Conditions for SAMHSA Grant Awards

This document outlines the federal terms and conditions applicable to your Substance Abuse and Mental Health Services Administration (SAMHSA) grant award. Please review these requirements carefully to ensure compliance throughout the life of the award.

Prohibited Uses of Grant Funds in Harm Reduction Activities
SAMHSA recipients are strictly prohibited from using Federal funds, directly or indirectly, including through cost-sharing, matching funds, or subsequent reimbursement, to support so-called "harm reduction" or "safe consumption" efforts that facilitate illegal drug use.

Specifically, grant funds must not be used to purchase, distribute, or otherwise support the provision of drug paraphernalia as defined by applicable law. This includes, but is not limited to, syringes, needles, pipes, or other supplies used for the injection, inhalation, or ingestion of illicit drugs. Funds are also prohibited from being used for sterile water, saline, or ascorbic acid when intended to facilitate drug use. While these prohibitions are in effect, this does not preclude the use of grant funds for legally permissible supplies and activities that align with evidence-based practices, such as the provision of naloxone or nalmefene, fentanyl or other drug test strips, or the facilitation of referrals to treatment.

Failure to comply with any of these terms and conditions, as well as the HHS Federal grant regulations, may result in one or more enforcement actions. These actions can include the suspension or termination of the award, the withholding of future payments, and the recoupment of any misused funds. For more information on this new policy, please review the recent notice from Principal Deputy Assistant Secretary, Art Kleinschmidt, Ph.D., found on our website at Dear Colleague Letter: Executive Order on Ending Crime and Disorder on America's Streets.

Antidiscrimination Compliance Requirement
By applying for or accepting federal funds from HHS, recipients certify compliance with all federal antidiscrimination laws and these requirements and that complying with those laws is a material condition of receiving federal funding streams. Recipients are responsible for ensuring subrecipients, contractors, and partners also comply.

Title IX Compliance Requirement
By accepting this award, including the obligation, expenditure, or drawdown of award funds, recipient certifies as follows:

- Recipient is compliant with Title IX of the Education Amendments of 1972, as amended, 20 USC 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled

Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 USC 2000d et seq., and Recipient will remain compliant for the duration of the Agreement.

- The above requirements are conditions of payment that go the essence of the Agreement and are therefore material terms of the Agreement.
- Payments under the Agreement are predicated on compliance with the above requirements, and therefore Recipient is not eligible for funding under the Agreement or to retain any funding under the Agreement absent compliance with the above requirements.
- Recipient acknowledges that this certification reflects a change in the government's position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this Agreement.
- Recipient acknowledges that a knowing false statement relating to Recipient's compliance with the above requirements and/or eligibility for the Agreement may subject Recipient to liability under the False Claims Act, 31 USC 3729, and/or criminal liability, including under 18 USC 287 and 1001.

1. Budget and Funding Overview

Award Approval

- This Notice of Award (NoA) approves the budget submitted on May 1, 2025.

Budget Period Compliance

- Recipients must ensure that funds are spent within the 12-month budget period specified in the Notice of Award (NoA) according to the approved budget.

2. Regulatory Requirements

Applicable Regulatory Provisions

- Prior to October 1, 2025, this award is subject to 45 CFR 75 except for eight flexibilities from 2 CFR 200 adopted by HHS on October 1, 2024, in Federal Register Notice 89 FR 80055. Starting on October 1, 2025, this award will be subject to any applicable provisions of 2 CFR 200 and 2 CFR 300.

Termination

- Prior to October 1, 2025, this award is subject to the termination provisions at 45 CFR 75.372. Starting on October 1, 2025, this award is subject to the termination provisions at 2 CFR 200.340. Pursuant to 2 CFR 200.340, the recipient agrees by accepting this award that continued funding for the award is contingent upon the availability of appropriated funds, recipient satisfactory performance, compliance with the Terms and Conditions of the award, and to the extent authorized by law, a decision by the agency that the award continues to effectuate program goals or agency priorities.

Compliance with Court Orders

- Any term or condition in this NoA, including those incorporated by reference, that HHS is enjoined by court order from imposing or enforcing shall not apply or be enforced as to any recipient or subrecipient to which that court order applies and while that court order is in effect.

Civil Rights Compliance Requirement

- The Applicant hereby agrees that it will comply with Title VI of the Civil Rights Act of1964, as amended (codified at 42 USC 2000d et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 80); Section 504 of the Rehabilitation Act of 1973, as amended (codified at 29 USC 794), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 84); Title IX of the Education Amendments of 1972, as amended (codified at 20 USC 1681 et seq.), and

all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 86); The Age Discrimination Act of 1975, as amended (codified at 42 USC 6101 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 91); and Section 1557 of the Patient Protection and Affordable Care Act, as amended (codified at 42 USC 18116), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 92).

3. Key Personnel

Effort Limitations

- Total effort across all funding sources (federal and non-federal) for any individual may not exceed 100% level of effort.

Definition of Key Personnel

- Key Personnel are essential staff or consultants/subrecipients who must be part of the project regardless of whether they receive a salary or compensation from the project.

Designated Key Personnel

- For this program, the following role(s) are designated as Key Personnel:
  - Project Director (PD)
  - Evaluator
- The identified PD for this program is listed in item #7 Project Director or Principal Investigator on the cover page of the NoA. If the individual identified on the NoA is incorrect, you must submit a post-award amendment for a change in Key Personnel via eRA Commons.

Key Personnel Changes Requiring Approval
Any changes to Key Personnel, including:

- The proposal of new staff in a Key Personnel role, or
- A separation from the project for three months or longer, or
- A reduction in effort of 25% or more

Note: Hiring Key Personnel before receiving formal approval is at the recipient's own risk.

4. Reporting Requirements

All reports must be submitted by the deadlines outlined below. Late submissions may result in additional consequences, including denial of future funding or unilateral project closeout.

A. Federal Financial Report (FFR/SF-425)

- **Due:** Annually, no later than 90 days after the end of each budget period
- **Submission Method:** Via the Payment Management System (PMS)
- **Requirements:**
  - Recipients must request appropriate PMS user access
  - Reports sent by email or uploaded to eRA Commons will not be accepted
  - See Instructions for FFR Submission

B. Programmatic Progress Report (PPR)

- **Due:** Annually, no later than 90 days after the end of each budget period
- **Submission Method:** Via eRA Commons
- **Content Must Include:**
  - Performance measure data and evaluation results
  - Summary of key accomplishments

- Description of changes made during the budget period
- Challenges encountered and actions taken to address them

C. Final Reports (for Closeout)

- **Due:** Within 120 days after the project period ends
- **Required Reports:**
  - Final Federal Financial Report (Final FFR/SF-425) via PMS
  - Final Progress Report (FPR) via eRA Commons
  - Tangible Personal Property Report (Final TPPR Report SF-428-B and SF-428-S, as applicable) via eRA Commons
- **Consequences for Failure to Submit Acceptable Final Reports:**
  - Unilateral closeout by SAMHSA
  - Reporting recipient's material failure to comply with the terms and conditions of the Federal award in SAM.gov (Responsibility/Qualification Records)
  - Impact on eligibility for future federal funding or other enforcement actions as appropriate (refer to 45 CFR 75.371, 2 CFR 200.339)
- **Closeout Liquidation Period:**
  - All obligations must be liquidated no later than 120 days after the project period end date
  - After one hundred twenty (120) days, the PMS account is automatically locked. SAMHSA does not approve payment requests after the one hundred twenty (120) day liquidation of obligations period; late drawdown requests occurring after the 120 days will be denied.
- Additional closeout information and instructions on submitting reports are available at SAMHSA Grant Closeout

5. Government Performance and Results Act (GPRA) Compliance

GPRA tools are being updated to comply with Presidential Executive Orders.

6. Financial Management Standards

Recipients must maintain financial systems that:

- Track sources and uses of federal funds
- Compare actual expenditures to approved budgets
- Keep federal funds separate from other funds (no commingling)
- Ensure that all costs charged to awards are:
  - Allowable
  - Allocable
  - Reasonable
  - Necessary
  - Consistently applied in accordance with **2 CFR Part 200** and **45 CFR Part 75**

7. Consequences for Noncompliance

Failure to comply with terms and conditions may result in:

- Withholding of payments
- Disallowance of costs
- Suspension or termination of the award: In accordance with the Notice of Funding Opportunity (NOFO), 2 CFR Part 200 and 45 CFR Part 75
- Denial of future funding: Remedies for noncompliance are governed by 45 CFR 75.371 and 75.372

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8. Post Award Amendments and Responses

All responses to award terms and post award amendment requests must be submitted in eRA Commons. For instructions, see SAMHSA Post Award Amendments.

9. Standard Terms and Conditions

The current HHS Grants Policy Statement (GPS) took effect July 24, 2025. Recipients are required to comply with the HHS GPS. A revised HHS GPS will take effect beginning on October 1, 2025, and will supersede the current GPS.

Your organization must comply with the **Standard Terms and Conditions** for the Fiscal Year in which your grant was awarded. Access: SAMHSA Standard Terms and Conditions.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

Staff Contacts:

Abdallah Ibrahim, Program Official
Phone: 240-276-1833 **Email:** Abdallah.Ibrahim@samhsa.hhs.gov

Thompson Von Agner, Grants Specialist
Phone: 240-276-1445 **Email:** Thompson.VonAgner@samhsa.hhs.gov

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Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Treatment

Notice of Award
FAIN# H79TI083708
Federal Award Date
06/30/2025

Recipient Information

1. Recipient Name
COMMUNITY CARE ALLIANCE
800 CLINTON ST STE 302
WOONSOCKET, RI 02895

2. Congressional District of Recipient
01

3. Payment System Identifier (ID)
[redacted]

4. Employer Identification Number (EIN)
[redacted]

5. Data Universal Numbering System (DUNS)
[redacted]

6. Recipient's Unique Entity Identifier
[redacted]

7. Project Director or Principal Investigator
Stump Evans

sevans@CommunityCareRI.org
401-559-3940

8. Authorized Official
Mr. Benedict Lessing
blessing@communitycareri.org
401-445-4201

Federal Agency Information

9. Awarding Agency Contact Information
Aretha Ofori-Ansah
Grants Specialist
Aretha.Ofori-Ansah@samhsa.hhs.gov
(240) 276-1033

10. Program Official Contact Information
Arianna Douglas
Program Official
arianna.douglas@samhsa.hhs.gov
240-276-2594

Federal Award Information

11. Award Number
5H79TI083708-03

12. Unique Federal Award Identification Number (FAIN)
H79TI083708

13. Statutory Authority
Section 509 of the PHS Act; 42 U.S.C 290bb-2

14. Federal Award Project Title
Community Care Alliance Youth and Family TREE

15. Assistance Listing Number
93.243

16. Assistance Listing Program Title
Substance Abuse and Mental Health Services_Projects of Regional and National Significance

17. Award Action Type
Non-Competing Continuation

18. Is the Award R&D?
No

Summary Federal Award Financial Information	
19. Budget Period Start Date 06/30/2025 **– End Date** 06/29/2026	
20. Total Amount of Federal Funds Obligated by this Action	$545,000
20a. Direct Cost Amount	$484,034
20b. Indirect Cost Amount	$60,966
21. Authorized Carryover	
22. Offset	
23. Total Amount of Federal Funds Obligated this budget period	$545,000
24. Total Approved Cost Sharing or Matching, where applicable	$0
25. Total Federal and Non-Federal Approved this Budget Period	$545,000
26. Project Period Start Date 06/30/2023 **– End Date** 06/29/2028	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	$1,635,000

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
LeSchell D Browne

30. Remarks

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

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Notice of Award

FY2021 Youth and Family Tree **Issue Date:** 06/30/2025
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Substance Abuse Treatment

Award Number: 5H79TI083708-03
FAIN: H79TI083708
Program Director: Stump Evans

Project Title: Community Care Alliance Youth and Family TREE

Organization Name: COMMUNITY CARE ALLIANCE

Authorized Official: Mr. Benedict Lessing

Authorized Official e-mail address: blessing@communitycareri.org

Budget Period: 06/30/2025 – 06/29/2026
Project Period: 06/30/2023 – 06/29/2028

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of $545,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COMMUNITY CARE ALLIANCE in support of the above referenced project. This award is pursuant to the authority of Section 509 of the PHS Act; 42 U.S.C 290bb-2 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
LeSchell D Browne
Grants Management Officer
Division of Grants Management
LeSchell.Browne@samhsa.hhs.gov
See additional information below

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SECTION I – AWARD DATA – 5H79TI083708-03

Award Calculation (U.S. Dollars)	
Personnel(non-research)	$259,544
Fringe Benefits	$85,650
Travel	$325
Supplies	$5,397
Contractual	$102,998
Other	$30,120
Direct Cost	$484,034
Indirect Cost	$60,966
Approved Budget	$545,000
Federal Share	$545,000
Cumulative Prior Awards for this Budget Period	$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$545,000

SUMMARY TOTALS FOR ALL YEARS	
YR	**AMOUNT**
3	$545,000
4	$545,000
5	$545,000

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

Fiscal Information:

CFDA Number:	93.243
EIN:	1050312278A5
Document Number:	23TI83708A
Fiscal Year:	2025

IC	**CAN**	**Amount**
TI	C96N199	$545,000

IC	CAN	2025	2026	2027
TI	C96N199	$545,000	$545,000	$545,000

TI Administrative Data:
PCC: YFTREE21 / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5H79TI083708-03

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5H79TI083708-03

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project

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and is subject to the terms and conditions incorporated either directly or by reference in the following:

a. The grant program legislation and program regulation cited in this Notice of Award.
b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
c. 45 CFR Part 75 as applicable.
d. The HHS Grants Policy Statement.
e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

SECTION IV – TI SPECIAL TERMS AND CONDITIONS – 5H79TI083708-03

REMARKS

Continuation Award

1. The Substance Abuse and Mental Health Services Administration (SAMHSA) is committed to ensuring that federal grant funds are administered in compliance with applicable statutes, regulations, and programmatic priorities. This Notice of Award serves as formal notification regarding the conditional approval of your organization's continuation grant application submitted under the Enhancement and Expansion of Treatment and Recovery Services for Adolescents, Transitional Aged Youth, and their Families Program (YFTREE). Following a thorough review, SAMHSA has determined that your application requires revisions.

Please note that your Government Project Officer (GPO) will contact you with detailed instructions for submitting the required revisions. You are asked to address the identified deficiencies within 15 days of the date of this notice.

You will be required to submit a comprehensively revised application that complies with applicable regulations and policies, including those outlined in 45 CFR Part 75 and all applicable award terms and conditions.

Thank you for your prompt attention to this matter. SAMHSA remains committed to partnering with your organization to ensure the effective and compliant administration of federal funds in support of YFTREE priorities. Should you have any questions or require clarification, please do not hesitate to contact your assigned GPO or Grants Management Specialist (GMS).

- This award reflects the conditional approval of the budget included in the continuation application submitted on ***01/28/2025*.**

2.Key Personnel

Key Personnel are listed below:

- ***Stump Evans, Project Director @ 50% level of effort***
- ***Isable Egelston, Youth Services/ Recovery Support Coordinator @ 100% level of effort***

Organizations receiving Federal Funds may not exceed 100% level of effort

combined across all funding sources (federal and non-federal) for any program staff member, Key Personnel or otherwise. Any changes to Key Personnel including level of effort involving separation from the project for any continuous period of three months or longer, or a reduction in time dedicated to the project of 25% or more requires a prior approval and must be submitted as a post award amendment in eRA Commons. Note: If an organization is awarded a grant and chooses to move forward with hiring an individual for a Key Personnel position before receiving SAMHSA formal approval, this will be done at the organization's own risk. For additional information on how to submit a post award amendment, please visit the SAMHSA website: https://www.samhsa.gov/grants/grants-management/post-award-amendments.

3. All responses to award terms and conditions and post award amendment requests must be submitted as PDF documents in eRA Commons. For more information on how to respond to tracked terms and conditions or how to submit a post award amendment request please refer tohttps://www.samhsa.gov/grants/grants-training-materials under heading *Grant Management Reference Materials for Grantees*.

4. Recipients are expected to plan their work and ensure that funds are expended within the 12-month budget period reflected on this Notice of Award. If activities proposed in the approved budget cannot be completed within the current budget period, SAMHSA cannot guarantee the approval of any request for carryover of remaining unobligated funding.

5. GPRA tools are being updated to comply with the Presidential Executive Orders.

STANDARD TERMS AND CONDITIONS

Annual Programmatic Progress Report

By **September 27, 2026**, submit via eRA Commons an annual **Programmatic Progress Report**.

The Programmatic Progress Report (PPR) is required on an annual basis and must be submitted no later than 90 days after the end of each 12-month budget period/incremental period.

The annual PPR must, at a minimum, include the following information:

- Data and progress for performance measures as reflected in your application regarding goals and evaluation activities.
- A summary of key program accomplishments to-date.
- Description of the changes, if any, that were made to the project that differ from the application for this budget period.
- Description of any difficulties and/or problems encountered in achieving planned goals and objectives including barriers to accomplishing program objectives, and actions to overcome barriers or difficulties.

Please contact your Government Program Official (GPO) for program specific submission information. Note: Recipients must also comply with the GPRA requirements that include the collection and periodic reporting of performance data as specified in the FOA or by the Grant Program Official (GPO). This information is needed in order to comply with PL 102-62, which requires SAMHSA to report evaluation

data to ensure the effectiveness and efficiency of its programs.

The response to this term must be submitted as PDF documents in eRA Commons under the *View Terms Tracking Details* page. For more information on how to respond to tracked terms and conditions, refer to https://www.samhsa.gov/grants/grants-training-materials under heading *How to Respond to Terms and Conditions.*

Additional information on reporting requirements is available at https://www.samhsa.gov/grants/grants-management/reporting-requirements.

Annual Federal Financial Report (FFR or SF-425)

All financial reporting for recipients of Health and Human Services (HHS) grants and cooperative agreements has been consolidated through a single point of entry, which has been identified as the Payment Management System (PMS). The Federal Financial Report (FFR or SF-425) initiative ensures all financial data is reported consistently through one source; shares reconciled financial data to the HHS grants management systems; assists with the timely financial monitoring and grant closeout; and reduces expired award payments.

The FFR is required on an annual basis and must be submitted **no later than 90 days after the end of each incremental period/budget period**. The FFR should reflect cumulative amounts. Additional guidance to complete the FFR can be found at http://www.samhsa.gov/grants/grants-management/reporting-requirements.

SAMHSA reserves the right to request more frequent submissions of FFRs. If so, the additional submission dates will be shown below.

Your organization is required to submit an FFR for this grant funding as follows:

- By **September 27, 2026** submit the Federal Financial Report (FFR)/(SF-425).
- The grant recipient staff member(s) responsible for FFR preparation, certification and submission of the FFR must either submit a request for New User Access or Update User Access to the FFR Module as applicable. Refer to the PMS User Access website https://pms.psc.gov/grant-recipients/user-access.html for information on how to submit a New User Access, Update User Access or Deactivate User Access. You can also view PMS Video on how to request new user access @ https://youtu.be/kdoqaXfiuI0 and PDF resource with instructions on Requesting Access @ https://pms.psc.gov/forms/New-User-Request_Grantee.pdf
- Instructions on **how to submit an FFR via PMS** are available at https://pmsapp.psc.gov/pms/app/help/ffr/ffr-grantee-instructions.html (The user must be logged in to PMS to access the link). Updates to the FFR instructions effective 4/1/2022 are also available @ https://pms.psc.gov/grant-recipients/ffr-updates.html
- While recipients must submit the FFR in PMS, the FFR can also be accessed by connecting seamlessly from the eRA Commons to PMS by clicking the Manage FFR link on the Search for Federal Financial Report (FFR) page in eRA Commons, which will redirect to PMS. SAMHSA will not accept FFRs submitted by email or uploaded as an attachment into eRA. To access the Manage FFR link in eRA Commons, the individual must be registered in eRA Commons and assigned the Financial Status Reporter (FSR) role for their organization. The individual assigned the FSR role is responsible for reporting the statement of grant expenditures for their organization. Refer to the page Managing eRA User Accounts on SAMHSA's website for instructions on how to assign the FSR role.

If you have questions about how to set up a PMS account for your organization, please contact the PMS Help Desk at PMSSupport@psc.hhs.gov or 1-877-614-5533.

Note: While recipients will use PMS to report all financial expenditures as well as to drawdown funds, recipients will continue to use eRA Commons for all other grant-related matters, including submitting progress reports, requesting post award amendments, and accessing grant documents such as the Notice

of Award.

Standard Terms for Awards

Your organization must comply with the Standard Terms and Conditions for the Fiscal Year in which your grant was awarded. The Fiscal Year for your award is identified on your Notice of Award. SAMHSA's Terms and Conditions webpage is located at https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

Standards for Financial Management
Recipients and subrecipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75 Subpart D. The financial systems must enable the recipient and subrecipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient and subrecipient to compare actual expenditures or outlays with the approved budget for the award. SAMHSA funds must retain their specific identity – they may not be commingled with non-federal funds or other federal funds. Commingling funds typically means depositing or recording funds in a general account without the ability to identify each specific source of funds with related expenditures.

Reasonable Costs for Consideration
Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds according to Reasonable Costs consideration per 2 CFR 200.404 and the Factors affecting allowability of costs per 2 CFR 200.403. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

Consistent Treatment of Costs
Recipients must treat costs consistently across all federal and non-federal grants, projects and cost centers. Recipients may not direct-charge federal grants for costs typically considered indirect in nature, unless done consistently. If part of the indirect cost rate, then it may not also be charged as a direct cost. Examples of indirect costs include (administrative salaries, rent, accounting fees, utilities, office supplies, etc.). If typical indirect cost categories are included in the budget as direct costs, it is SAMHSA s understanding that your organization has developed a cost accounting system adequate to justify the direct charges and to avoid an unfair allocation of these costs to the federal government. Also, note that all awards are subject to later review in accordance with the requirements of 45 CFR 75.364, 45 CFR 75.371, 45 CFR 75.386 and 45 CFR Part 75, Subpart F, Audit Requirements.

Compliance with Terms and Conditions
FAILURE TO COMPLY WITH TERMS AND CONDITIONS MAY RESULT IN ACTIONS IN ACCORDANCE WITH 45 CFR 75.371, REMEDIES FOR NON-COMPLIANCE AND 45 CFR 75.372 TERMINATION. THIS MAY INCLUDE WITHHOLDING PAYMENT, DISALLOWANCE OF COSTS, SUSPENSION AND DEBARMENT, TERMINATION OF THIS AWARD, OR DENIAL OF FUTURE FUNDING.

Applicable Regulatory Provisions

- Prior to October 1, 2025, this award is subject to 45 C.F.R. 75 except for eight flexibilities from 2 C.F.R. 200 adopted by HHS on October 1, 2024. After October 1, 2025, this award will be subject to any applicable provisions of 2 C.F.R. 200 and 2 C.F.R. 300.

Termination

- Prior to October 1, 2025, this award is subject to the termination provisions at 45 C.F.R. 75.372. Starting on October 1, 2025, this award is subject to the termination provisions at 2 C.F.R. 200.340. Pursuant to 2 C.F.R. 200.340, the recipient agrees by accepting this award that continued funding for the award is contingent upon the availability of appropriated funds, recipient satisfactory performance, compliance with the Terms and Conditions of the award, and a decision by the agency

that the award continues to effectuate program goals or agency priorities.

Assurance of Compliance

- The Applicant hereby agrees that it will comply with Title VI of the Civil Rights Act of1964, as amended (codified at 42 U.S.C. 2000d et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 80); Section 504 of the Rehabilitation Act of 1973, as amended (codified at 29 U.S.C. 794), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 84); Title IX of the Education Amendments of 1972, as amended (codified at 20 U.S.C. 1681 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86); The Age Discrimination Act of 1975, as amended (codified at 42 U.S.C. 6101 et seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 91); and Section 1557 of the Patient Protection and Affordable Care Act, as amended (codified at 42 U.S.C. 18116), and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 92).

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

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