



## RESOURCE PROGRAMS

Department of Health and Human Services  
Centers for Disease Control and Prevention  
NATIONAL CENTER FOR HIV, VIRAL HEPATITIS, STDS AND TB PREVENTION



**Grant Number:** 5H25PS004345-03  
**FAIN:** H25PS004345

**Principal Investigator(s):**  
KEN PALERMO

**Project Title:** IMPRVG STD PRGMS THRU ASSMT, ASSRNCE, PLCY DEV & PREV STRAT

BRET FISCHER  
DIRECTOR, DIV OF ADMINISTRATION  
MISSOURI DEPT OF HEALTH & SENIOR SERV.  
920 WILDWOOD  
PO BOX 570  
JEFFERSON CITY, MO 65102

**Budget Period:** 01/01/2016 – 12/31/2016

**Project Period:** 01/01/2014 – 12/31/2018

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$460,913 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to MISSOURI STATE DEPARTMENT OF HEALTH & SENIOR SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS ACT, SECT. 318 (42U.S.C. SEC 247C) and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Arthur Lusby  
Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

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**SECTION I – AWARD DATA – 5H25PS004345-03****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$128,314
Fringe Benefits	\$64,157
Supplies	\$6,569
Travel Costs	\$5,214
Other Costs	\$104,295
Consortium/Contractual Cost	\$112,138

Federal Direct Costs	\$420,687
Federal F&A Costs	\$40,226
Approved Budget	\$460,913
Federal Share	\$460,913
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$460,913</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$460,913

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

04 \$1,939,012  
05 \$1,939,012

**Fiscal Information:**

CFDA Number: 93.977  
EIN: XXXXXXXXXX  
Document Number: 004345AA14

IC	CAN	2016	2017	2018
PS	939ZRLJ	\$2,994		
PS	939ZRRY	\$457,919	\$1,939,012	\$1,939,012

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD	CUMULATIVE TOTALS	
3	\$460,913	\$460,913	
4	\$1,939,012	\$1,939,012	
5	\$1,939,012	\$1,939,012	

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

**CDC Administrative Data:**

PCC: N / OC: 4151 / Processed: ERAAPPS 11/19/2015

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5H25PS004345-03**

For payment information see Payment Information section in Additional Terms and Conditions.

**INSPECTOR GENERAL:** The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hhstips@oig.hhs.gov](mailto:hhstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. This note replaces the Inspector General contact information cited in previous notice of award.

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**SECTION III – TERMS AND CONDITIONS – 5H25PS004345-03**

This award is based on the application submitted to, and as approved by, CDC on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The HS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

This award has been assigned the Federal Award Identification Number (FAIN) H25PS004345. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

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

National Center For Hiv, Viral Hepatitis, Stds And Tb Prevention (PS)

**Treatment of Program Income:**  
Additional Costs

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#### **SECTION IV – PS Special Terms and Conditions – 5H25PS004345-03**

**Funding Opportunity Announcement (FOA) Number: PS14-1402**  
**Award Number: 5 H25PS004345 03**  
**Award Type: Cooperative Agreement**  
**Applicable Regulations: 45 Code of Federal Regulations (CFR) Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards**

#### **AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number PS14-1402, entitled **Improving Sexually Transmitted Disease Programs through Assessment, Assurance, Policy Development, and Prevention Strategies (STD AAPPS)**, and application dated **8/26/2015**, as may be amended, which are hereby made a part of this Non-Research award hereinafter referred to as the Notice of Award (NoA). The Department of Health and Human Services (HHS) grant recipients must comply with all terms and conditions outlined in their NoA, including grants policy terms and conditions contained in applicable HHS Grants Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The term grant is used throughout this notice and includes cooperative agreements.

**Approved Funding:** Funding in the amount of **\$1,834,672** is approved for the Year **03** budget period, which is **January 1, 2016** through **December 31, 2016**. 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.

The CDC is operating under a continuing resolution; as a result, the total available funding for the Fiscal Year (2016) **January 1, 2016** through **December 31, 2016** budget period is contingent upon the enactment of applicable appropriation bill(s). Funding in the amount of **\$460,913** in

Financial Assistance (FA) is awarded on this NoA. The remainder of the budget period Approved Funding amount is subject to the availability of funds.

**Available Funding:** This award reflects **25%** of the APPS base anticipated budget for the FA; all future year funding will be based on satisfactory programmatic progress and the availability of funds. Therefore, the amount of **\$460,913** in Financial Assistance (FA) is awarded. Funding is approved for the following components:

**AAPPS: \$ 457,919**

**GISP: \$ 2,994**

**Technical Review Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted electronically as a PDF to the CDC Technical Review Mailbox, [dstdpgrants@cdc.gov](mailto:dstdpgrants@cdc.gov) and submit a copy to the Project Officer noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, **2/15/2016**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** A revised budget is required by **2/15/2016**. A revised budget with a narrative justification, work plan, and 424a must be submitted electronically as a PDF to the GMS/Project Officer. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the Staff Contacts section of this notice before the due date.

## **FUNDING RESTRICTIONS AND LIMITATIONS**

**INDIRECT COSTS:** Indirect costs are approved based on the Indirect Cost Rate Agreement dated 1/8/15, which calculates indirect costs as follows, a Provisional rate is approved at a rate of **20.9%** of the base, which includes, total direct costs excluding capital expenditures (buildings, individual items of equipment; alterations and renovations) and subawards. The effective dates of this indirect cost rate are **7/1/2015** until **6/30/2018**.

### **Cost Limitations as Stated in the Consolidated Appropriations Act, 2014, (Items A through G)**

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

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

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

C. Proper Use of Appropriations - Publicity and Propaganda (LOBBYING) FY2012 (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 of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
- 503 (b): No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any

grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

- 503(c): The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale of marketing, including but not limited to the advocacy or promotion of gun control.

For additional information, see Additional Requirement 12 at [http://www.cdc.gov/od/pgo/funding/grants/additional\\_req.shtm](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm) and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/od/pgo/funding/grants/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/od/pgo/funding/grants/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf).

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

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

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

Prostitution and Sex Trafficking (Items 1 through 7):

1. Consistent with Section 7631(e) of the U.S. Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003, 22 USC §§ 7601 et seq. ("the Leadership Act"), the U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
1. Additionally, consistent with Section 7631(f) of the Leadership Act, a prime recipient that is a non-U.S. nongovernmental organization acknowledges that, by accepting this award, it agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.
2. Contractors and subcontractors are exempt from the above requirements if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as

pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

3. Notwithstanding the contract exemption above, not exempt from these provisions are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:
  1. Providing supplies or services directly to the final populations receiving such supplies or services in host countries;
  2. Providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
  3. Providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

1. Subrecipients

1. Prime recipient shall insert the following provision in subawards or subcontracts: "None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides."
2. Prime recipients shall insert the following provision in subawards or subcontracts subject to Section 7631(f) (i.e., those to non-U.S. nongovernmental organizations): "By accepting this award, the subawardee/ subcontractor agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children."

1. The following definitions apply for purposes of the above provisions:

1. "Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.
2. "Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.

"Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by (HHS OPDIV) prior to the end of its term.

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

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

Fiscal Year (FY) 2016 funds will expire 9/30/2021. All FY 2014 funds should be drawn down and reported to Payment Management System (PMS) prior to 9/30/2021. After this date, corrections or cash requests will not be permitted.

## REPORTING REQUIREMENTS

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted through eRA Commons no later than 90 days after the end of the calendar quarter in which the budget period ends. The FFR for this budget period is due to the GMS/GMO by **3/31/2017**. Reporting timeframe is **1/1/2016 through 12/31/2016**.

The FFR may be downloaded from the following website below and submitted to the GMS via email. [https://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf) The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

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

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

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

Federal Audit Clearing House Internet Data Entry System

Electronic Submission:

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

AND

Procurement & Grants Office, Risk Management & Compliance Activity

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

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

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

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

Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-

awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

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

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

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

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

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

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

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

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

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

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

You must report sub-recipient executive total compensation to the grantee by the end of the month following the month during which you make the sub-award. For

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

Definitions:

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

## **GENERAL REQUIREMENTS**

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

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

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

**Prior Approval:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this NoA. The grantee must submit these requests by **August 31, 2016**. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

The following types of requests require prior approval.

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

Templates for prior approval requests can be found at:

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

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

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

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

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **5 H25PS004345** funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.

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

- percentage of the total costs of the program or project which will be financed with Federal money
- dollar amount of Federal funds for the project or program, and

percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**Copyright Interests Provision:** This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to

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

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

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

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. The views expressed in written conference materials or publications and by speakers and moderators do not necessarily reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

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

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

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

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

laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of these data, subject to all applicable laws protecting security, privacy, and research. If/When information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:  
[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107\\_cong\\_public\\_laws&docid=f:publ347.107.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

**Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:**

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

Federal Acquisition Regulations

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

3.908 Pilot program for enhancement of contractor employee whistleblower protections.

3.908-1 Scope of section.

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

(b) This section does not apply to-

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

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

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

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

3.908-2 Definitions.

As used in this section-

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

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

3.908-3 Policy.

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

request of an executive branch official, unless the request takes the form of a non-discretionary directive and is within the authority of the executive branch official making the request.

(b) Entities to whom disclosure may be made.

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

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

3.908-9 Contract clause.

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

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

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

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

## **PAYMENT INFORMATION**

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

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

Director, Division of Payment Management, OS/ASAM/PSC/FMS/DPM  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <http://www.dpm.psc.gov/help/help.aspx>

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

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

Cross Servicing Payment Branch:

[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/cross\\_servicing.aspx](http://www.dpm.psc.gov/contacts/dpm_contact_list/cross_servicing.aspx)

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

U.S. Department of Health and Human Services

Division of Payment Management  
7700 Wisconsin Avenue, Suite 920  
Bethesda, MD 20814

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

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

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

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

Grant Document Number: **004345AA14**  
Subaccount Title: **PS141402 IMPRSTDAAPPS**

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

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

## CDC ROLES AND RESPONSIBILITIES

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

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

- Determining the appropriate award instrument, i.e.; grant or cooperative agreement
- Determining if an application meets the requirements of the FOA
- Ensuring objective reviews are conducted in an above-the-board manner and according to guidelines set forth in grants policy
- Ensuring grantee compliance with applicable laws, regulations, and policies
- Negotiating awards, including budgets
- Responding to grantee inquiries regarding the business and administrative aspects of an award
- Providing grantees with guidance on the closeout process and administering the closeout of grants

- Receiving and processing reports and prior approval requests such as changes in funding, carryover, budget redirection, or changes to the terms and conditions of an award

Maintaining the official grant file and program book

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

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

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

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

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

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

□

**Programmatic Contact:**

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**STAFF CONTACTS**

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**Grants Management Officer:** Arthur Lusby  
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2920 Brandywine Road, MS E-15  
Atlanta, GA 30341  
**Email:** [alusby@cdc.gov](mailto:alusby@cdc.gov) **Phone:** (770) 488-2865 **Fax:** 770-488-2868

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 5H25PS004345-03

**INSTITUTION:** MISSOURI STATE DEPT/ HEALTH & SENIOR SRV

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$128,314		
Fringe Benefits	\$64,157		
Supplies	\$6,569		
Travel Costs	\$5,214		
Other Costs	\$104,295		
Consortium/Contractual Cost	\$112,138		
TOTAL FEDERAL DC	\$420,687	\$1,939,012	\$1,939,012
TOTAL FEDERAL F&A	\$40,226	\$0	\$0
TOTAL COST	\$460,913	\$1,939,012	\$1,939,012

**FOA: CDC RFA PS14-1402**  
Improving Sexually Transmitted Disease Programs through  
Assessment, Assurance, Policy Development, and Prevention Strategies  
**(STD AAPPs)**  
Year 2

**Annual Performance Report – TECHNICAL REVIEW (TR)**

Project Area Name	
MISSOURI DEPARTMENT OF HEALTH AND SENIOR SERVICES	
Cooperative Agreement Award #	
1H25PS004345	
Program Consultant / Signature and Date	
Vickie Boazman-Holmes; <i>VBoHolmes</i> 10/10/2015	
Reviewer or Team Leader / Signature and Date	
Bruce Heath 10/10/2015	

**PURPOSE:** The purpose of this technical review (TR) is to assess the funded STD program's performance under DSTDP FOA PS 14-1402. Included in this review are the following: a) Year 1 (January-December 2014) program annual report as final; b) Year 2 (January-June 2015) progress update and Year 2 (July-December 2015) expected program progress within the 2015 work plan; c) Year 3 (January-December 2016) proposed 2016 work plan; and d) projected budget for Year 3 (January-December 2016).

The technical review contains remarks, recommendations or action items, and capacity-building assistance/technical assistance (CBA/TA) needs to assist the funded STD program with the development and implementation of STD prevention program activities, in accordance with FOA PS14-1402 requirements. The sections of this TR include all domains: STD Assessment, Assurance, Policy Development, and Prevention Strategies (STD AAPPs). Attached is the STD AAPPs Matrix to help guide the awardee and program consultant.

**INSTRUCTIONS:** The CDC program consultant will review the awardee's FOA continuation application, complete with aforementioned work plans and budget, to provide substantive feedback as stated across all domain program activities. The awardee shall, upon receipt of the TR, review each section for the CDC program consultant's provided feedback (comments, recommendations or action items, CBA/TA) and provide a TR response to the CDC consultant (copy to PGO) within 30 days of having received the TR; the response shall address each section's recommendations. Please consider an action plan that reflects timelines and responsible parties. Timely submission of a TR response is expected within the 30-day period. Thank you!



## 2014 Work Plan Annual Progress Update

Required Activities	Number of Objectives	Status	
		Met	Unmet
Assessment	25	11	14
Assurance	16	7	9
Policy Development	3	3	0

What notable success was identified in the 2014 annual progress update?

Please indicate to which core activity program (Assessment, Assurance, or Policy) the success corresponds.

- Assessment: Established contact to obtain HEDIS data for Medicaid plans and established a reporting schedule for the aggregate, yearly dataset. For these measures, our strategy to address the goal of increasing screening rates among young women has adjusted to a higher, organizational level approach.
- Assurance: Internet usage is documented in the case record and is evaluated at least annually. Also, all interviewed clients newly and previously diagnosed with HIV are referred to HIV care no matter where they were diagnosed. Missouri is fully integrated with STD and HIV partner services.

To what extent were the intended outcomes reached?

- Using the required activities as a foundation for their program objectives, the awardee met the following intended outcome in each section: 44% under Assessment, 44% under Assurance and 100% under Policy Development.

Based on the identified challenges that hindered the ability to meet program objectives, outcomes, and activities, what action steps may be considered?

- Within the Assessment domain the awardee identified staffing shortages as a contributing factor for not achieving better success in this area. Although the awardee did not meet 14 of 25 program objectives it is evident that a considerable amount of work had occurred implementing each objective. Where applicable the awardee should assess staffing resources before starting work plan activities to ensure scope of work is reasonable.



- Within the Assurance domain the awardee identified several contributing factors for not achieving better success in this area. A few of the factors included staffing shortages, internal administrative delays with contracts and DIS challenged to identify locatable partners for partner services. Many of the unmet objectives had a completion date of December 2014. It is not clear how progress with each objective was measured. To improve outcome measures, the awardee should review and re-evaluate the program objectives routinely to ensure that barriers are addressed in a timely manner.

Comments

- None

### 2015 Work Plan Progress

Assessment

Required Activities	Number of Objectives	Status				
		M	O	U	R	E
Conduct Surveillance	27	5	4	18	0	0
Monitor Screening Rates	4	3	0	0	1	0
Assess Gaps in Safety Net Services	0	0	0	0	0	0
Monitor Antibiotic-Resistant Gonorrhea or Other Emerging STD Threats and Congenital Syphilis	7	2	4	0	1	0

M=Met O=On-track to meet U=Unmet R=Revised E=Eliminated



**Assurance**

Required Activities	Number of Objectives	Status				
		M	O	U	R	E
Screening and Treatment of Individuals per CDC guidance	9	2	3	4	0	0
Partner Services/Outreach Services and Linkage to Care	8	0	3	5	0	0
Health Promotion and Prevention Education	3	2	1	0	0	0

M=Met O=On-track to meet U=Unmet R=Revised E=Eliminated

**Policy Development**

Required Activities	Number of Objectives	Status				
		M	O	U	R	E
Policy Development	5	2	2	1	0	0

M=Met O=On-track to meet U=Unmet R=Revised E=Eliminated



## 2015 AAPPs Work Plan Progress Update

Are all required activities included?  Yes  No

Will activities support achievement of the objectives?  Yes  No

Is there a clear description and timeline of how progress is measured?  Yes  No

What notable success was identified?  Yes  No

*(Indicate to which core domain (Assessment, Assurance, or Policy) the success corresponds.)*

- Assessment: BSHS has been able to assess data availability for Medicaid and Title X providers and obtain this data over the last year.
- Assessment: BSHS has had some progress in assessing insurance collection processes for Title X clinics and public health laboratory capacity to conduct N. gonorrhea culture and AST.
- Assurance: Through technical assistance provided from CDC, the program has identified issues with the WebSurv that are currently being addressed.

To what extent were the intended outcomes reached?

- Within the Assessment domain the awardee reported outcomes for all program objectives. However it is concerning that 18 of 27 surveillance program objectives have been deemed unmet or not on target to meet. The program objectives support four of the five required activities (e.g. 2) Improve the quality and timeliness of case-based data collection to routinely obtain information on gender of sex partners, pregnancy status, HIV status, treatment given, patient's address and provider information; 3) Geocode case –based surveillance data to target interventions to providers serving a high volume of patients with STDs and to populations in geographic areas with high numbers of reported infections; 4) Conduct automated matching of STD and HIV cases for identification of syndemics and for targeting health department partner services for co-infected individuals to identify new HIV infections and other HIV infected individuals who are not in care and 5) Disseminate surveillance information to affected populations, communities, providers and key stakeholders).
- The program objectives appear reasonable and appropriate for resources. It is highly recommended that leadership from the STD Program garner support from internal partners to support FOA required activities.



- Within the Assurance domain the awardee reported outcomes for all program objectives. Sixty-three percent (5/8) of the program objectives that support Partner Services/Outreach Services and Linkage to Care required activities were deemed unmet or not on target to meet. The objectives would require data reports and informatics support to achieve the desired outcomes.
- Within the Policy Development domain the awardee reported outcomes for all program objectives.

What needed support from CDC was identified and how can this be addressed?

*(Indicate to which core domain (Assessment, Assurance, or Policy) and objectives the needed support corresponds.)*

- The Program Consultant is available to provide guidance and technical assistance if needed with 2015 work plan.

#### Recommendations

- The awardee should review all 2014 and 2015 objectives under the Assessment domain and develop a plan of action to address internal barriers that impede implementing activities that support STD AAPPs required activities.
- The awardee should review 2015 Partner Services/Outreach Services and Linkage to Care program objectives under Assurance domain to determine which could be revised to improve proposed outcomes.



## 2016 AAPPs Work Plan

### Assessment

Are all required activities included?  Yes  No

Do objectives accurately support progress toward achieving the required activities?  Yes  No

If no, provide guidance to improve the objectives.

- Objective 2.1: Surveillance: The data completeness objectives appears to solely focus on interviewed (initiated) cases, which is a non-representative sample of all cases. If improving quality of all reported cases is not feasible, the awardee should consider focusing on a representative sample (e.g. a random 10% sample).
- Objective 3.1: Surveillance: The awardee did not include an objective that describes how geographic information will be used in targeting screening/partner services/education or other disease control measures as stated in the required activity. As written the objective does not support the required activity. The awardee needs to develop an objective that accurately supports the required activity.
- Objectives 4.1: Surveillance: The awardee did not include an objective that describes how they will use matched data to target interventions as stated in the required activity. As written the objective does not support the required activity. The awardee needs to develop an objective that accurately supports the required activity and is measurable.

Do stated program activities support progress toward achieving the objectives?  Yes  No

If no, provide guidance to improve activities that support achievement of the objectives.

- Most of the program activities adequately support progress toward achieving the objectives, however, a few could be enhanced to provide better outcomes to strengthen the statewide surveillance and data collection system.
- Objective 2.1: Surveillance: The awardee indicated plans to measure percent completeness of each variable as one of their outcome measures, however, they did not describe an activity that will first establish a baseline of data quality. It is recommended that in addition to holding monthly meetings to discuss development of policies and procedures to ensure data completeness, plans should also involve establishing current baseline of data completeness.



- Objective 2.1: Surveillance: The awardee did not describe specific approaches or activities for improving data quality. They need to be more specific about how they are going to accomplish this goal.
- Objective 3.1: Surveillance: The awardee did not describe how geographic information will be used in targeting screening/partner services/education or other disease control measures.
- Objective 5.1: Surveillance: The awardee did not describe specific approaches or activities for disseminating data to providers or affected populations. The awardee should consider ways to get information to providers and to reach affected populations.

Do the targeted timelines support reaching the stated objectives?  Yes  No

Do the proposed measures support the required activities?  Yes  No

Do the data sources listed in each core domain allow for reporting on the respective objectives and activities?  Yes  No

**Recommendations**

- The awardee should review and respond to recommendations cited within the corresponding sections.

**Assurance**

Are all required activities included?  Yes  No

Do objectives accurately support progress toward achieving the required activities?  Yes  No

- If no, provide guidance to improve the objectives.
- Objectives 1b.1, 1c.1 and 2.1: Partner Services/Outreach Services and Linkage to Care: The proposed objectives are activities and not objectives. It is difficult to determine how they will measure progress of each objective. The awardee should review and revise the objectives to ensure they support progress toward achieving the required activities.

Do stated program activities support progress toward achieving the objectives?  Yes  No



Do the targeted timelines support reaching the stated objectives?  Yes  No

If no, provide suggestions and guidance.

Objective 1a.1: Partner Services/Outreach Services and Linkage to Care: The awardee did not include a completion date for this activity.

Do the proposed measures support the required activities?  Yes  No

Do the data sources listed in each core domain allow for reporting on the respective objectives and activities?  Yes  No

Recommendations

The awardee should revise objectives 1b.1, 1c.1 and 2.1 to ensure they are measurable using the SMART format.  
 Objective 1a.1: Partner Services/Outreach Services and Linkage to Care: The awardee should include a completion date for this activity.

Policy Development

Are all required activities included?  Yes  No

Do objectives accurately support progress toward achieving the required activities?  Yes  No

If no, provide guidance to improve the objectives.

The awardee submitted three objectives that are not measurable. As written they are activities and not objectives. It is difficult to determine how they will measure progress of each objective.

Do stated program activities support progress toward achieving the objectives?  Yes  No

Do the targeted timelines support reaching the stated objectives?  Yes  No



Do the proposed measures support the required activities?  Yes  No

Do the data sources listed in each core domain allow for reporting on the respective objectives and activities?  Yes  No

Recommendations

- The awardee should revise all objectives to ensure they are measurable using the SMART format.

### GISP

Is this a recipient of GISP?  Yes  No

Comments on GISP

- See attached review.

### Enhanced Program Evaluation Supplemental Funding

Is this a recipient of Enhanced Program Evaluation Supplemental Funding?  Yes  No

## **Additional Required Program Documents**

Indicate whether the following required documents were submitted:

Surveillance Assessment  Yes  No

Policy Assessment  Yes  No

2015 Targeted Evaluation Plan (TEP) Update  Yes  No

Final 2014 Progress Report  Yes  No



## 2016 Budget

Did the awardee submit an appropriate individual line-item budget and budget justification for each funding component for which the program is applying?  Yes  No If no, please describe.

Were all requested costs consistent with program objectives and activities, especially those related to requests for personnel and contracts?  
 Yes  No If no, please describe.

- Travel: The awardee did not identify funds to attend 2016 Division of STD Prevention Conference. The awardee must identify travel funds to attend STD Prevention Conference as required in FOA.
- Supplies: The awardee did not include a breakdown of costs (i.e., how many FTE served, estimated cost/month, etc.). You must individually list each item requested, and provide the following information: 1) specify the type of item, as appropriate; 2) number needed; 3) unit cost of each item; and 4) total amount requested. If appropriate, General office supplies may be shown by an estimated amount per month times the number of months in the budget category. Also, provide a justification for the use of each item and relate it to specific program objectives.
- Contracts: The awardee listed the method of selection as government entity and did not provide a detailed budget for each contract. You must include the appropriate method of selection. State whether the contract is sole source or competitive bid. If an organization is the sole source for the contract, include an explanation as to why this institution is the only one able to perform contract services. In addition, you must provide an itemized budget with appropriate justification. If applicable, include any indirect cost paid under the contract and the indirect cost rate used. In addition for the contractor listed as TBD the awardee must provide the information later as a revision to the budget.
- Contracts: The awardee list a courier service and did not include the following information as required with each contract:
  - I. **Name of Contractor:** Identify the name of the proposed contractor and indicate whether the contract is with an institution or organization.
  - II. **Method of Selection:** State whether the contract is sole source or competitive bid. If an organization is the sole source for the contract, include an explanation as to why this institution is the only one able to perform contract services.



III. **Period of Performance:** Specify the beginning and ending dates of the contract.

IV. **Scope of Work:** Describe the specific services/tasks to be performed by the contractor and relate them to the accomplishment of program objectives. Deliverables should be clearly defined.

V. **Method of Accountability:** Describe how the progress and performance of the contractor will be monitored during and on close of the contract period. Identify who will be responsible for supervising the contract.

VI. **Itemized Budget and Justification:** Provide and itemized budget with appropriate justification. If applicable, include any indirect cost paid under the contract and the indirect cost rate used.

- Other: Items listed as Test Containers & Supplies for Syphilis and Shipping Costs the awardee did not individually list each item requested and provide appropriate justification related to the program objectives.

Were there any positions listed as vacant?  Yes  No If yes, please describe.

- How long have the positions been vacant?
- Are the positions currently being recruited?
- What is the estimated timeline for the positions to be filled?
- Is the project area under a hiring freeze? If so, what is the expected timeframe for the freeze to be lifted?
- Funding for vacant positions must be adjusted to reflect estimated fill date

- Personnel: The awardee list eight (8) vacant positions within 2016 budget. They must provide the information listed above for each vacancy. If the positions cannot be filled in a reasonable amount of time, redirect these funds to other STD AAPPs activities.

Based on the review, are there any restrictions on the recommended use of funds?  Yes  No  
 (Consider allowable and appropriate expenditures related to FOA.)

*(If yes, please include reason for restriction, amount of restriction recommended, and criteria for lifting restriction.)*

- The awardee must submit a revised budget narrative that includes the information requested above. Funding for contractual courier services (\$6,000.00), test containers/supplies for syphilis (\$ 9,850.00) and shipping cost (\$5, 618.00) are pending submission of revised budget narrative.

**Current Organizational and Program Charts (Tables of Organization)**



Were any changes mentioned in staffing, especially key positions, program, or agency organization?  Yes  No

**CDC-RFA-PS14-1402CONT16 STD AAPPs**

**Part B: Gonococcal Isolate Surveillance Project (GISP)  
Technical Review**

Project Area  
Missouri Department of Health and Senior Services

GISP activities/objectives	January 1 - December 31, 2014	January 1 - June 30, 2015
	No./%	No./%
Number of cases of gonococcal urethritis diagnosed in men attending the participating clinic	283	148
Number of isolates submitted to the assigned GISP regional laboratory	233	121
Percentage of submitted isolated that were found by the GISP regional laboratory to be non-viable or contaminated	0.9%	0%
Percentage of monthly isolate batches that were shipped to the GISP regional laboratory within one week after the end of monthly collection	92%	100%
Percentage of monthly demographic/clinical data transmissions that were submitted to CDC within one month of the completion of specimen collection	75%	83%
Percentage of collected isolates for which the following data elements were reported:		
• Age	100%	100%
• Gender of sex partner/sexual orientation	100%	100%
• HIV status	100%	100%
• Antibiotic use	95%	90%
• Treatment	99%	100%



Recommendations/comments

Grantee has demonstrated satisfactory performance towards meeting the objectives of the cooperative agreement. Grantee reported challenges with enrollment and specimen volume due to staff shortages. Demographic submissions were also delayed a few of the months due to competing responsibilities with the transition to a new Division Manager but the grantee does not anticipate future issues. Data completeness is excellent.

Notes to PDQIB Program Consultant

Funding requested for FY2016: \$2,994. Budget is reasonable.

