



**SECTION I – AWARD DATA – 5UF2CE002427-02**

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

|                                    |           |
|------------------------------------|-----------|
| <b>Salaries and Wages</b>          | \$57,280  |
| <b>Fringe Benefits</b>             | \$28,640  |
| <b>Supplies</b>                    | \$425     |
| <b>Consortium/Contractual Cost</b> | \$490,511 |
| <b>Travel Costs</b>                | \$7,380   |
| <b>Other Costs</b>                 | \$11,925  |

|                                   |                  |
|-----------------------------------|------------------|
| <b>Federal Direct Costs</b>       | \$596,161        |
| <b>Federal F&amp;A Costs</b>      | \$16,497         |
| <b>Approved Budget</b>            | \$612,658        |
| <b>Federal Share</b>              | \$612,658        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b> | <b>\$612,658</b> |

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$612,658**

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

|    |           |
|----|-----------|
| 03 | \$603,238 |
| 04 | \$603,238 |
| 05 | \$603,238 |

**Fiscal Information:**

**CFDA Number:** 93.136  
**EIN:** XXXXXXXXXX  
**Document Number:** 002427RP14

|    |         |           |           |           |           |
|----|---------|-----------|-----------|-----------|-----------|
| IC | CAN     | 2015      | 2016      | 2017      | 2018      |
| CE | 939ZSFL | \$612,658 | \$603,238 | \$603,238 | \$603,238 |

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 2                            | \$612,658  | \$612,658         |
| 3                            | \$603,238  | \$603,238         |
| 4                            | \$603,238  | \$603,238         |
| 5                            | \$603,238  | \$603,238         |

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 01/30/2015

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5UF2CE002427-02**

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

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

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**SECTION III – TERMS AND CONDITIONS – 5UF2CE002427-02**

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) UF2CE002427. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

**Treatment of Program Income:**  
Additional Costs

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**SECTION IV – CE Special Terms and Conditions – 5UF2CE002427-02**

Funding Opportunity Announcement (FOA) Number: CE14-1401  
Award Number: 5 UF2 CE002427-02  
Award Type: Cooperative Agreement  
Applicable Cost Principles: 2 CFR Part 225 Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)

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**AWARD INFORMATION**

**Incorporation:** The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number CE14-1401, entitled Rape Prevention and Education Program (RPE), and application dated **October 17, 2014**, 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 **\$612,658** is approved for the Year 02 budget period, which is **February 1, 2015** through **January 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.

**Award Funding:** Not funded by the Prevention and Public Health Fund

**Technical Review Statement 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 to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) 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, **March 2, 2015**, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By **March 2, 2015** the grantee must submit a revised budget with a narrative justification and work plan. 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**

Fringe benefits costs for the staff positions supporting the Rape Prevention and Education Program, in the amount of \$28,640 is pending written a written rate of the fringe benefits used and the basis for your calculation. If a fringe benefit rate is not used, itemize how the fringe benefit amount is computed positions. Your submission is requested within 30 days of this award.

**Programmatic Restriction(s):** 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. An applicant may not use more than two percent of the amount received for each fiscal year for surveillance studies or prevalence studies.

**Indirect Costs:** Indirect costs are not applicable to this award.

**Administrative Costs:** In accordance with Congressional legislation, Section 393B of the Public Health Service Act [42 U.S.C. 280b-1c], in lieu of indirect costs, the recipient may not use more than five percent of the amount received for each fiscal year for administrative costs.

**Surveillance/Prevalence Costs:** Grantees may not use more than two percent of the total RPE award for each budget year for surveillance studies or prevalence studies in accordance with the RPE regulations.

### **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. H, Title V, Sec. 522): 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. Restricts dealings with corporations with recent felonies (Div. E, Title VI, Sec. 623): None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

F. Restricts dealings with corporations with unpaid federal tax liability (Div. E, Title VI, Sec. 622, Div. H, Title V, Sec. 518): None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

G. Blocking access to pornography (Div. H, Title V, Sec. 528): (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.

**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)). For the full text of the award terms and conditions, see, [http://www.cdc.gov/od/pgo/funding/grants/Award\\_Term\\_and\\_Condition\\_for\\_Trafficking\\_in\\_Persons.shtm](http://www.cdc.gov/od/pgo/funding/grants/Award_Term_and_Condition_for_Trafficking_in_Persons.shtm)



**Audit requirements for Subrecipients:** 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 (2 CFR 200 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 subrecipient's records and financial statements. The grantee must include this requirement in all subrecipient contracts.

Note: The standards set forth in 2 CFR Part 200 Subpart F will apply to audits of fiscal years beginning on or after December 26, 2014.

**Federal Funding Accountability and Transparency Act (FFATA):** *FFATA applies to new awards that have been made and noncompeting continuations that were issued as new awards on or after October 1, 2010. 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 A-133 (see Section\_.205(h) and Section\_.205(i)), 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?SID=62c0c614004c0ada23cb6552e0adcdc6&node=2:1.1.1.1.4&rgn=div5#\\_top](http://www.ecfr.gov/cgi-bin/text-idx?SID=62c0c614004c0ada23cb6552e0adcdc6&node=2:1.1.1.1.4&rgn=div5#_top)

FFATA: [www.fsr.gov](http://www.fsr.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.fsr.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.fsr.gov/specify>.

**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/excomp.htm>).



- 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 2 CFR Parts 200, 225 and 230, as applicable and 45 CFR Parts 74 and 92, as applicable.

**Food and Meals:** Costs associated with food or meals are allowable when consistent with OMB Circulars and guidance, HHS Federal regulations, Program Regulations, HHS policies and guidance. 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 2 CFR Parts 200, 225 and 230, as applicable and 45 CFR Parts 74 and 92, as applicable.

**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 **October 1, 2015** or no later than 120 days prior to this budget period's end date. 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

Note: Awardees may request up to 75 percent of their estimated unobligated funds to be carried forward into the next budget period.

Templates for prior approval requests can be found at:  
<http://www.cdc.gov/od/pgo/funding/grants/granteeguidance.shtm>

**Key Personnel:** In accordance with 2 CFR Parts 200.308 and 215.25(c)(2) & (3), 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, **UF2 CE002427-02**, 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 of in applicable grant regulations and OMB circulars.

**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  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533\_  
Email: PMSSupport@psc.gov  
Website: <http://www.dpm.psc.gov/help/help.aspx>

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

- University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)
- Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/gov\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/gov_tribal.aspx?explorer.event=true)
- Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/cross\\_servicing.aspx](http://www.dpm.psc.gov/contacts/dpm_contact_list/cross_servicing.aspx)
- International Payment Branch: Bhavin Patel (301) 443-9188\_

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 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: **002427RP14**  
Subaccount Title: **CE141401RAPEPREVEDUC**

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

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

## CLOSEOUT REQUIREMENTS

Grantees must submit closeout reports in a timely manner. Unless the Grants Management Specialist/Grants Management Officer (GMS/GMO) approves a deadline extension the grantee must submit all closeout reports within 90 days after the last day of the final budget period. Reporting timeframe is **February 1, 2014** through **January 31, 2019**. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

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

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

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

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

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

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

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

**Equipment Inventory Report:** An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. The grantee should also identify each item of equipment that it wishes to retain for continued use in accordance with 2 CFR Parts 200, 215.37 or 2 CFR Part 215.71. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter. CDC will notify the grantee if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

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

## CDC ROLES AND RESPONSIBILITIES

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

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

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

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

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

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

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

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

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

**Programmatic Contact:**

**Heather Oglesby**, Project Officer  
Centers for Disease Control  
National Center for Injury Prevention and Control  
4770 Buford Highway, NE, Mail Stop F-64  
Atlanta, Georgia 30341  
Telephone: (770) 488-7432  
Fax: (770) 488-4349  
Email: [xwm8@cdc.gov](mailto:xwm8@cdc.gov)

**STAFF CONTACTS****Grants Management Specialist:** Devi Hawkins

Center for Disease Control and Prevention

PGO

2920 Brandywine Road MS, K-69

Atlanta, GA 30341

**Email:** duh4@cdc.gov **Phone:** 770.488.8493 **Fax:** 770.488.2670**Grants Management Officer:** Barbara R Benyard

Centers for Disease Control and Prevention

Procurement and Grants Office

Koger Center, Colgate Building

2920 Brandywine Road, Mail Stop K 70

Atlanta, GA 30341

**Email:** rbenyard@cdc.gov **Phone:** 770.488.2757 **Fax:** 770.488.2777**SPREADSHEET SUMMARY****GRANT NUMBER:** 5UF2CE002427-02**INSTITUTION:** MISSOURI STATE DEPT/ HEALTH & SENIOR SRV

| Budget                      | Year 2    | Year 3    | Year 4    | Year 5    |
|-----------------------------|-----------|-----------|-----------|-----------|
| Salaries and Wages          | \$57,280  |           |           |           |
| Fringe Benefits             | \$28,640  |           |           |           |
| Supplies                    | \$425     |           |           |           |
| Consortium/Contractual Cost | \$490,511 |           |           |           |
| Travel Costs                | \$7,380   |           |           |           |
| Other Costs                 | \$11,925  |           |           |           |
| TOTAL FEDERAL DC            | \$596,161 | \$603,238 | \$603,238 | \$603,238 |
| TOTAL FEDERAL F&A           | \$16,497  |           |           |           |
| TOTAL COST                  | \$612,658 | \$603,238 | \$603,238 | \$603,238 |

**National Center for Injury Prevention and Control  
Division of Violence Prevention/Program Practice and Translation Branch**

**Technical Review**

Awardee's Name: Missouri Department of Health

Grantee #: CE002427                      Budget Year: FY 2015

FOA #: CE14-1401                      Title: Rape Prevention and Education Program

Requested Amount: \$626,420                      Recommended Award Amount: \$612,658

Actual Unobligated Funds: N/A                      Estimated Unobligated Funds: N/A

**1. Response to Technical Review (check one):**

The awardee must submit a response to the weakness (es) and recommendations identified in the technical review within 30 days from receipt date of the notice of award. **(Note: The awardee's response should be reflective only of the weaknesses identified; therefore, resubmission of the entire application is not required.)**

No response to Technical Review is required.

**2. Budget and Work-plan (check one):**

Revised Budget and Work-plan are needed due to a reduction in proposed budget, which affects the proposed activities/work-plan. **(Attach budget mark-up and justification to be used by GMS to request revised budget and work-plan.)**

Revised budget and work-plan are required due to – (provide reason(s)):

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Revised budget and work-plan are **NOT** required.

**3. Performance (check one):**

The project officer certifies performance is satisfactory to date and continued funding is recommended.

The project officer certifies performance is not fully satisfactory to date and weaknesses and recommendations should be addressed, continued funding should be restricted until attached recommendations are met.



\_\_\_\_\_The project officer has determined performance to date has been less than satisfactory and continued funding is denied. The project officer's determination is based on below factual data as published in the announcement.

Project Officer's Name:

Heather Oglesby

(Print Name)

Project Officer's Signature:



Date: 11/14/14

Awardee's Name: Missouri Department Health

Grantee #: CE002427

Budget Year: FY 2015

**A thorough review of the interim progress report has been performed. The review considered the evaluation criteria published in the funding opportunity announcement. Based on the review, the followings were identified:**

**A. Current Budget Period Progress report:**

**Summary of Major Strengths:**

- Budget was complete and consistent throughout and reflected the work that was estimated to be performed
- The State utilizes UCR, BRFSS, YRBS and local data sources to support the program implementation for RPE in the Missouri. Data is the first step of the Public Health approach and the State uses data to drive its justification of selected strategies, targeted populations and associated risk and protective factors.
- The State is working with their contracted evaluator to identify specific risk and protective factors for their targeted population.
- The State has identified a specific strategy and target population to address sexual violence using evidence based practices and prevention principles through the implementation of Green Dot.
- The State uses RPE dollars for (8) BRFSS questions and UCR data to monitor State-specific data around sexual violence.
- The State reported out on all permitted uses funded through the RPE and being implemented in Missouri.
- Recipient has expanded their training across the State on sexual violence prevention strategies, social change theory and the use of the public health approach.
- The State reported out data elements on the funded permitted uses being implemented through RPE.
- The work plan is reflective of the revised FOA components and incorporated the Public Health framework in training and technical assistance, program implantation and State-level evaluation.



### **Summary of Major Weaknesses:**

- No major weaknesses noted

### **Other Relevant Comments:**

- While the State has incorporated a directed approach for the use of RPE funds, the challenge in not having the specific data elements from CDC along with examples or templates in collecting the information needed, could hinder how the evaluation of the program is reported and the level of impact of RPE funding in the State. Project Officer recommends continuing to work with CDC and other RPE programs to increase the knowledge and capacity around data collection and program evaluation and document challenges with the implementation of evaluation efforts at the State and local level.

### **B. New Budget Period Proposal Objectives:**

#### **Summary of the Project:**

The Missouri Department of Health and Senior Services will utilize funding from the Centers for Disease Control and Prevention to address sexual violence in Missouri through the use of primary prevention strategies. Primary prevention strategies aim to prevent sexual violence before first-time perpetration or victimization. Such strategies will involve a social ecological approach, including the individual, relationship, community and societal level in order to address norms and attitudes that support rape culture and permissiveness of sexual violence. Primary prevention strategies will focus on the universal population of adolescents and adults in order to prevent sexual violence in Missouri.

#### **Summary of Major Strengths:**

- The State has submitted a thorough work plan outlining the annual objective, performance measures, key partners and timeline using the revised program components.
- The State will be using local and National level data sources to support program strategy and implementation.
- The State is selecting state-specific, population-specific risk and protective factors to target with a selected prevention strategy, Green Dot. In addressing the identified risk and protective factors, consideration on measuring the modifiable change should be evident in the short term and long term outcomes. The State should consider the data collection tools or systems that would be used to monitor the change in risk and protective factors and be used as a best practice or continuous quality control for sub-grantees and program implementation. The CDC Project Officer will continue to provide technical assistance around this.
- The State has contracted with the University of Kentucky to develop the evaluation plan for Green Dot, along with performance measure tools to track outcomes associated with the strategies being implemented. Recipient should continue to work with their CDC Project Officer around the development of the instruments to ensure data collection activity will support the current RPE outcomes.

### **Summary of Major Weaknesses:**



- No major weaknesses noted

**Other Relevant Comments:**

- The State should continue to work with their CDC Project Officer on the implementation on the Public Health Approach. Data sources should continue to be used to justify the target population to be reached and the associated risk and protective factor that will be measured for change. The SEM layer in which the primary prevention strategy should be identified to support the change the State would like to see. Outcome measures should include the systematic way in which the State will measure the change in risk and protective factor for the targeted population. Data sources can include local, State and National level data to support the targeted population and evidenced based strategy to be implemented.
- The State is expected to have the evaluation plan by February 2015. The State should share the plan with their Project Officer once completed and continue to revise based on data collection efforts, changing funding patterns and yearly outcomes. CDC Project Officer will continue to communicate CDC's required performance measures and provide technical assistance to support the realistic State challenges with implementing RPE.

**Recommendations:**

- The emphasis for this FOA will be on the use of the public health approach and effective prevention principles by RPE-funded organizations to guide their strategy selection, implementation, and evaluation efforts. The Public Health Approach is outline according to the following components and activities:
  - Using data (e.g., national, state, community, surveillance, programmatic SV-related data) for the following, but not limited to: define the problem, define the population of need, select the program strategy, inform strategic and program planning, inform partnership or coalition building, monitor burden, progress, and impact, or inform other decision-making processes.
  - Identifying risk and protective factors, for the following, but not limited to: incorporate what is currently known to select programs and strategies, identify target population, and assess SV-related outcomes
  - Developing prevention strategies using best available evidence and evaluating prevention strategies for the following, but not limited to: assuring proper implementation, identifying areas for improvement, identifying promising practices, and supporting decision-making for future strategy selection.
  - Preparing for spread of emerging or promising practices, which may occur after the 5-year grant cycle.
- Moving forward, the grantee should continue to apply the public health approach to facilitate the selection of evidence-informed and evidence-based strategies for the modification of sexual violence-related risks, protective factors, and other positive outcomes, including impacts on sexual violence perpetration and victimization. CDC will work with the grantee to provide guidance and technical assistance on using the public health approach to identify project goals and activities.

**Work Plan**



## **Component 1**

### *Summary of Major Strengths:*

- The State has documented the level of effort being provided by both the State and sub grantees along with an associated timeline for RPE activities.
- The State is has identified the data sources to guide the RPE program implementation in targeting community and societal level strategies.
- The State has identified specific goals and objectives based on the proposed prevention strategies to be implemented.
- A process to collect and monitor data from the local programs should be considered in the work plan or evaluation plan. If implemented, the process should be described in any program reports and how it was used for continuous quality improvement. This can be shared as a lessons learned for other RPE programs.
- The State has done a tremendous job at focusing RPE funds, based on data, target populations at risk for sexual violence and strategy selection based on some level of evidence. The State is moving forward using the Public Health Approach in addressing sexual violence and is taking the lead at the State Health Department to build and sustain a State-wide plan and sexual violence prevention programs.

### *Summary of Major Weaknesses:*

- No major weaknesses noted

### *Additional Comments:*

- While the State is currently developing the Evaluation plan and performance measures for RPE, they should continue to work with the CDC project officer on targeting associated risk and protective factors with the populations who will be receiving RPE services. The State should continue to think about how they will measures the change in risk and protective factors based on the prevention strategy being implemented. The State should also think about how each SEM layer will support long-term outcomes to move into other SEM layers.

## **Component 2**

### *Summary of Major Strengths:*

- The training and technical assistance plan was included in the work plan and described who would be receiving the type of training along with, level of effort, goals, outcomes and expected outcomes as it relates to program implementation. The State should think about documenting the State-level dosage and intensity of training and technical assistance around Green Dot implementation.

### *Summary of Major Weaknesses:*

- No major weaknesses noted

## **Component 3**



*Summary of Major Strengths:*

- The State included component three activities for the CDC sponsored trainings in their work plan. The State should continue to work with their CDC Project Officer in the documentation of all FOA activities.

*Summary of Major Weaknesses:*

- No major weaknesses noted.

**Budget**

*Summary of Major Strengths:*

- Applicant submitted all budget requirements, such as 424, 424a, budget narrative and budget line item breakdown.
- The State's indirect costs did not exceed the 5% cap on Administrative funds.

*Summary of Major Weaknesses:*

- No Major weaknesses noted

