

1. DATE ISSUED MM/DD/YYYY 06/25/2020		1a. SUPERSEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
2. CFDA NO. 93.946			
3. ASSISTANCE TYPE Cooperative Agreement			
4. GRANT NO. 5 U01DP006213-05-00 Formerly 5U01DP006213-02		5. TYPE OF AWARD Research	
4a. FAIN U01DP006213		5a. ACTION TYPE Non-Competing Continuation	
6. PROJECT PERIOD MM/DD/YYYY From 05/01/2016		Through 04/30/2021	
7. BUDGET PERIOD MM/DD/YYYY From 05/01/2020		Through 04/30/2021	
8. TITLE OF PROJECT (OR PROGRAM) COMPONENT A - MISSOURI PREGNANCY RISK ASSESSMENT MONITORING SYSTEM			

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Disease Control and Prevention**

2939 Brandywine Road
Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)
Section 317K of the Public Health Service Act, [42 U.S.C. 247b-12], as amended

9a. GRANTEE NAME AND ADDRESS HEALTH AND SENIOR SERVICES, MISSOURI DEPARTMENT OF PO BOX 570 MISSOURI DEPARTMENT OF HEALTH AND SENIOR SERVICES Jefferson City, MO 65102-0570		9b. GRANTEE PROJECT DIRECTOR Ms. Rebecca Lander 920 WILDWOOD DR Missouri Department of Health and Senior Services JEFFERSON CITY, MO 65109-5796 Phone: 573-522-4839	
10a. GRANTEE AUTHORIZING OFFICIAL Ms. Tonya R Loucks 920 Wildwood Drive Jefferson City, MO 65109-5796 Phone: 573-751-6014		10b. FEDERAL PROJECT OFFICER Sue Shaw 4770 Buford Hwy NE MS# F-80 Atlanta, GA 30341 Phone: 770-488-6142	

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)				12. AWARD COMPUTATION			
I Financial Assistance from the Federal Awarding Agency Only				a. Amount of Federal Financial Assistance (from item 11m) 172,050.00			
II Total project costs including grant funds and all other financial participation <input type="checkbox"/> I				b. Less Unobligated Balance From Prior Budget Periods 37,585.00			
a. Salaries and WageS 85,541.00				c. Less Cumulative Prior Award(s) This Budget Period 0.00			
b. Fringe Benefits 2,973.00				d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 134,465.00			
c. Total Personnel Costs 88,514.00				13. Total Federal Funds Awarded to Date for Project Period 986,914.00			
d. Equipment 0.00				14. RECOMMENDED FUTURE SUPPORT			
e. Supplies 1,225.00				(Subject to the availability of funds and satisfactory progress of the project):			
f. Travel 20.00				YEAR TOTAL DIRECT COSTS YEAR TOTAL DIRECT COSTS			
g. Construction 0.00				a. 6 b. 7 c. 8 d. 9 e. 10 f. 11			
h. Other 11,866.00				15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:			
i. Contractual 51,483.00				a. DEDUCTION			
j. TOTAL DIRECT COSTS → 153,108.00				b. ADDITIONAL COSTS			
k. INDIRECT COSTS 18,942.00				c. MATCHING			
l. TOTAL APPROVED BUDGET 172,050.00				d. OTHER RESEARCH (Add / Deduct Option)			
m. Federal Share 172,050.00				e. OTHER (See REMARKS)			
n. Non-Federal Share 0.00				16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDOING AGENCY 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			
				b. The grant program regulations.			
				c. This award notice including terms and conditions, if any, noted below under REMARKS.			
				d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.			
				In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.			

REMARKS (Other Terms and Conditions Attached - Yes No)
This Notice approves the FY2020 NCC award in the amount of \$172,050. Total new funds are \$119,465 in Core funds; \$15,000 in Disability; and a FY2018 (Year 03) offset of \$37,585.

GRANTS MANAGEMENT OFFICIAL:

Sharon Cassell
1600 Clifton Rd
Atlanta, GA 30333
Phone: 770-488-2703

17.OBJ CLASS	41.41	18a. VENDOR CODE		18b. EIN		19. DUNS	878092600	20. CONG. DIST.	04
FY-ACCOUNT NO.		DOCUMENT NO.		ADMINISTRATIVE CODE		AMT ACTION FIN ASST		APPROPRIATION	
21. a.	0-9390FBT	b.	16DP006213	c.	DP	d.	\$15,000.00	e.	75-20-0844
22. a.	0-939ZRDR	b.	16DP006213	c.	DP	d.	\$119,465.00	e.	75-20-0948
23. a.	8-939ZREU	b.	16DP006213	c.	DP	d.	\$0.00	e.	75-18-0948

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 06/25/2020
GRANT NO. 5 U01DP006213-05-00	

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 9-9390ATV	b. 16DP00621318OCDP	c. DP	d. \$0.00	e. 75-1819-0952
25.a. 8-9390B42	b. 16DP006213	c. DP	d. \$0.00	e. 75-18-0844
26.a. 8-9390ATV	b. 16DP006213	c. DP	d. \$0.00	e. 75-1819-0952

AWARD ATTACHMENTS

Missouri Department of Health

5 U01DP006213-05-00

1. Terms and Conditions - MO DOH - DP006213-05 - FY2020 NCC

Missouri Dept. of Health
U01DP006213-05
Application Number: U01DP2020000558

AWARD INFORMATION

Incorporation: In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Research awards at <https://www.cdc.gov/grants/federalregulationspolicies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number DP16-001, entitled **Pregnancy Risk Assessment Monitoring System (PRAMS)**, and application dated January 29, 2020, as may be amended, which are hereby made a part of this Research award hereinafter referred to as the Notice of Award (NOA).

Note: Due to grants management administration system parameters, the budget category names on Page 1 of this NOA may be altered from the budget categories submitted with the SF-424 Research and Related Budget application.

Approved Funding: Funding in the amount of **\$172,050** is approved for the Year 05 budget period, which is **May 1, 2020** through **April 30, 2021**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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

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

NOFO Component	Amount
Component A: Core	\$ 157,050
Disability	\$ 15,000
Total New Funds	\$ 172,050

Recipients are to review the **Payment Management System (PMS) Subaccount** section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

Financial Assistance Mechanism: Cooperative Agreement

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

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

Use of Unobligated Funds: This NoA includes use of Year 2018 unobligated funds in the amount of **\$37,585**, which has been applied as an offset to the currently approved funding level

for this budget period. The use of unobligated funds is approved based on the Year 2018 Federal Financial Report (FFR) dated July 26, 2019. The amount of this NoA will be subject to reduction if the final unobligated balance is less than the amount of unobligated funds reported on the referenced FFR.

ADDITIONAL TERMS AND CONDITIONS OF AWARD

No Cost Extension: The purpose of this amendment is to approve a twelve (12) month No Cost Extension for **Year 04 Opioid Supplement** per the request submitted by your organization dated April 1, 2020. The budget and project period end dates have been extended from April 30, 2019 to April 30, 2021.

Annual Federal Financial Report (FFR SF-425): Annual financial reporting is required every twelve-month period. Due to the approved extension period, the final budget period has been extended and an additional annual financial report will be required. A completed FFR SF-425 covering the original final budget period of May 1, 2019 to April 30, 2020 must be submitted by July 30, 2020.

Recipients must submit all closeout reports identified in this section within 90 days of the period of performance end date. The reporting timeframe is the full period of performance. 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).

Final Performance Progress and Evaluation Report (PPER): This report should include the information specified in the NOFO. At a minimum, the report will include the following:

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

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

Final Federal Financial Report (FFR, SF-425): The FFR should only include those funds authorized and actually expended during the timeframe covered by the report. The Final FFR, SF-425 is required and must be submitted no later than 90 days after the period of performance end date.

The final 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' 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.

Electronic versions of the FFR SF-425 can be downloaded at:

<https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>

Equipment and Supplies - Tangible Personal Property Report (SF-428): A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. Electronic versions of the forms can be downloaded by visiting:

<https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>

If no equipment was acquired under an award, a negative report is required.

The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than \$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.

Final Invention Statement: A Final Invention Statement must be submitted. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>.

If no inventions were conceived under an assistance award, a negative report is required. This statement may be included in a cover letter.

Please be advised that grantee must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, and reasonable.

FUNDING RESTRICTIONS AND LIMITATIONS

Amendments: Amendments and applications must be submitted using the Application Submission System & Interface for Submission Tracking (ASSIST) module which is a web-based service used for the preparation and submission of grant applications to CDC through eRA Commons. ASSIST provides the ability for applicants to prepare their applications online, and offers the applicant additional capabilities including the ability to preview the application image, validate the application against required business rules, and prepopulate data from an applicant organization's records, therefore identifying issues earlier in the application submission process.

For any assistance with submission through ASSIST, reach out to the eRA Help Desk.

Certificate of Confidentiality: Institutions and investigators are responsible for determining whether research they conduct is subject to Section 301(d) of the Public Health Service (PHS) Act. Section 301(d), as amended by Section 2012 of the 21st Century Cures Act, P.L. 114-255 (42 U.S.C. 241(d)), states that the Secretary shall issue Certificates of Confidentiality (Certificates) to persons engaged in biomedical, behavioral, clinical, or other research activities in which identifiable, sensitive information is collected. In furtherance of this provision, CDC supported research commenced or ongoing after December 13, 2016 in which identifiable,

sensitive information is collected, as defined by Section 301(d), is deemed issued a Certificate and therefore required to protect the privacy of individuals who are subjects of such research. Certificates issued in this manner will not be issued as a separate document, but are issued by application of this term and condition to this award. See Additional Requirement 36 to ensure compliance with this term and condition. The link to the full text is at: <https://www.cdc.gov/grants/additionalrequirements/ar-36.html>

Indirect Costs:

Indirect costs are approved based on the negotiated indirect cost rate agreement dated January 24, 2019, which calculates indirect costs as follows, a Provisional rate is approved at a rate of **21.4%** of the base, which includes direct salaries and wages excluding all fringe benefits. The effective dates of this indirect cost rate are from July 1, 2020 to June 30, 2022.

REPORTING REQUIREMENTS

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

CDC, Office of Grants Services

Dwayne R. Cooper, Sr., Grants Management Specialist

Centers for Disease Control and Prevention

Office of Grant Services

The District, Building 2939, Mailstop: TV2

(formerly, University Park, Vanderbilt Bldg)

Atlanta, Georgia 30341

Email: dcooper1@cdc.gov (Include "Mandatory Grant Disclosures" in subject line)

AND

U.S. Department of Health and Human Services

Office of the Inspector General

ATTN: Mandatory Grant Disclosures, Intake Coordinator

330 Independence Avenue, SW

Cohen Building, Room 5527

Washington, DC 20201

Fax: (202)-205-0604 (Include "Mandatory Grant Disclosures" in subject line) or

Email: MandatoryGranteeDisclosures@oig.hhs.gov

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

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

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

CLOSEOUT REQUIREMENTS

Human Subjects: Under governing regulations, federal funds administered by the Department of Health and Human Services shall not be expended for research involving human subjects, and individuals shall not be enrolled in such research, without prior approval by the Office for Human Research Protection (OHRP) of an assurance to comply with the requirements of 45 CFR Part 46 to protect human research subjects. Whenever an institution receives funding from an HHS agency to support such research, the awardee institution bears the ultimate responsibility for protecting human subjects under the award. Compliance for all performance sites must be ensured by the awardee. All recipients of CDC grants and cooperative agreements and their performance sites engaged in research involving human subjects must obtain 1) a Federal wide Assurance (FWA) of Protection for Human Subjects from OHRP and 2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board (IRB). For instructions on registering IRBs and obtaining FWAs, see the OHRP website at: <https://www.hhs.gov/ohrp>.

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If no equipment was acquired under an award, a negative report is required. The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$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.

Final Invention Statement: A Final Invention Statement must be submitted. Electronic versions of the form can be downloaded by visiting <http://grants1.nih.gov/grants/hhs568.pdf>.

PAYMENT INFORMATION

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

The grant document number identified on the first page of the NOA must be known in order to draw down funds.

Subaccount Title: **16DP006213**

CDC STAFF CONTACTS

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

Grants Management Specialist Contact:
Dwayne R. Cooper, Sr., Grants Management Specialist
Centers for Disease Control & Prevention

Office of Grant Services
The District, Building 2939, Mailstop: **TV2**
(formerly, University Park, Vanderbilt Bldg)
Atlanta, Georgia 30341
Telephone: (770) 488-2874
Email: dcooper1@cdc.gov

Scientific Program Official/Project Officer: The SPO is the federal official responsible for the programmatic, scientific, and/or technical aspects of grants and cooperative agreements.

Programmatic Contact:

PO/SPO Contact:

Sue Shaw, Scientific Program Official
Centers for Disease Control
National Center for Chronic Disease Prevention & Health
4770 Buford Highway
Chamblee, GA 30341
Telephone: 770-488-6142
Email: zqx7@cdc.gov

Grants Management Officer: The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards. The GMO is the only official authorized to obligate federal funds and is responsible for signing the NOA, including revisions to the NOA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization. GMO contact information appears on Page 1 of the NOA.

Grants Management Officer Contact:

Sharon Cassell, Grants Management Officer
Centers for Disease Control and Prevention
Office of Grant Services
Telephone: 770-488-2703
Email: scassell@cdc.gov