



**BOARD OF SUPERVISORS AGENDA ITEM REPORT**  
**CONTRACTS / AWARDS / GRANTS**

☐ Award ☐ Contract ☒ Grant

Requested Board Meeting Date: April 5, 2022

\* = Mandatory, information must be provided

or Procurement Director Award ☐

**\*Contractor/Vendor Name/Grantor (DBA):**

Arizona Board of Regents, University of Arizona

**\*Project Title/Description:**

Health Promotion and Disease Prevention Research Centers

**\*Purpose:**

The purpose of *Unidos: Linking Individuals to Social Determinant and Community Health Services* is to address chronic disease and social conditions that contribute to health disparities among Latinos in Arizona. This project involves delivering education and resources to target communities through Community Health Workers (CHWs) who understand and represent community needs within and outside of traditional health systems.

Amendment #2 adds \$20,000 for Year 3 of the project.

**\*Procurement Method:**

This Revenue Contract is a non-Procurement contract and not subject to Procurement rules.

**\*Program Goals/Predicted Outcomes:**

It is expected that this project will show that enhanced social support and networks will improve reported health over a six month period. The outcome of this research will be a scalable, sustainable Community-Clinical Linkages model that lowers chronic disease risk. Community Health Workers within the Pima County Health Department will accomplish these outcomes by working with El Rio Community Health Center to identify program participants. CHWs will work with participants to:

- 1) Support and connect participants to health promotion resources;
- 2) Provide individual and group-based support; and
- 3) Leverage community resources to help individuals address social determinants of health-related needs.

**\*Public Benefit:**

Reduction of chronic disease and improved social conditions among Latino adults in Pima County.

**\*Metrics Available to Measure Performance:**

1. Participate in the Arizona Prevention Research Center (AzPRC) Community Action Board (CAB) Research Committee;
2. Work collaboratively with the CAB Research Committee and AzPRC research team to refine the Unidos community-clinical linkage model;
3. Employ CHWs to implement the community program;
4. Participate in CHW training related to the research intervention;
5. Collect survey data relevant to the community program being implemented by CHWs in the community; and
6. Participate in dissemination and scale up activities as appropriate.

**\*Retroactive:**

Yes. The grant funding for Year 3 of the contract began September 30, 2021. However, the final agreement was not received from the University until February 22, 2022. If not approved, this program will not be able to complete the third and final year.

*DMI Approved*  
*Montano 3-9-22*  
Revised 5/2020

**Contract / Award Information**

Document Type: \_\_\_\_\_ Department Code: \_\_\_\_\_ Contract Number (i.e., 15-123): \_\_\_\_\_

Commencement Date: \_\_\_\_\_ Termination Date: \_\_\_\_\_ Prior Contract Number (Synergen/CMS): \_\_\_\_\_

☐ Expense Amount: \$\* \_\_\_\_\_ ☐ Revenue Amount: \$ \_\_\_\_\_**\*Funding Source(s) required:**Funding from General Fund? ☐ Yes ☐ No If Yes \$ \_\_\_\_\_ % \_\_\_\_\_Contract is fully or partially funded with Federal Funds? ☐ Yes ☐ No**If Yes, is the Contract to a vendor or subrecipient?** \_\_\_\_\_Were insurance or indemnity clauses modified? ☐ Yes ☐ No*If Yes, attach Risk's approval.*Vendor is using a Social Security Number? ☐ Yes ☐ No*If Yes, attach the required form per Administrative Procedure 22-10.***Amendment / Revised Award Information**

Document Type: \_\_\_\_\_ Department Code: \_\_\_\_\_ Contract Number (i.e., 15-123): \_\_\_\_\_

Amendment No.: \_\_\_\_\_ AMS Version No.: \_\_\_\_\_

Commencement Date: \_\_\_\_\_ New Termination Date: \_\_\_\_\_

Prior Contract No. (Synergen/CMS): \_\_\_\_\_

☐ Expense or ☐ Revenue ☐ Increase ☐ Decrease Amount This Amendment: \$ \_\_\_\_\_Is there revenue included? ☐ Yes ☐ No If Yes \$ \_\_\_\_\_**\*Funding Source(s) required:**Funding from General Fund? ☐ Yes ☐ No If Yes \$ \_\_\_\_\_ % \_\_\_\_\_**Grant/Amendment Information** (for grants acceptance and awards) ☐ Award ☒ AmendmentDocument Type: GTAM Department Code: HD Grant Number (i.e., 15-123): 22-064Commencement Date: 09/30/2021 Termination Date: 09/29/2022 Amendment Number: 02☐ Match Amount: \$ \_\_\_\_\_ ☒ Revenue Amount: \$ 20,000.00**\*All Funding Source(s) required:** Department of Health and Human Services, Centers for Disease Control and Prevention  
via the University of Arizona**\*Match funding from General Fund?** ☐ Yes ☒ No If Yes \$ \_\_\_\_\_ % \_\_\_\_\_**\*Match funding from other sources?** ☐ Yes ☒ No If Yes \$ \_\_\_\_\_ % \_\_\_\_\_**\*Funding Source:** \_\_\_\_\_**\*If Federal funds are received, is funding coming directly from the  
Federal government or passed through other organization(s)?**

via the University of Arizona

Contact: Sharon GrantDepartment: Health Telephone: 724-7842Department Director Signature/Date: [Signature] 8 March 2022Deputy County Administrator Signature/Date: [Signature] 9 March 2022County Administrator Signature/Date: [Signature] 5/9/2022  
(Required for Board Agenda/Addendum Items)

## FDP Subaward Amendment

Amendment No **2**Subaward No **541282**

Pass-Through Entity (PTE)

Subrecipient

Arizona Board of Regents on behalf of the University of Arizona

Entity Name

Pima County, on behalf of the Pima County Health Department

SPS-Subawards@email.arizona.edu

Contact Email

Sharon.Grant@pima.gov

Scott C Carvajal

Principal Investigator

Donald Gates

Project Title **Health Promotion and Disease Prevention Research Centers - 2019**PTE/Prime Award No. **5 U48DP006413-03-00**Awarding Agency **National Institutes of Health (NIH)**

Cumulative Budget Period(s)

(Agreement Start Date)

(End Date of Latest Budget Period)

Amount Funded This Action

Total Amount of Funds Obligated to Date

Start Date: **09/30/2019**End Date: **09/29/2022**

\$ 20,000.00

\$ 119,575.02

Subrecipient Cost Share ☐Subject to FFATA ☒

Subrecipient UEI

(Unique Entity Identifier - May leave blank if unchanged from prior Agreement)

### Amendment(s) to Original Terms and Conditions

This Amendment revises the above-referenced Subaward Agreement as follows:

Revised Attachment 2 and Prime Award NOA Modification 003 are attached and incorporated by reference.

Carryover is **Not Automatic**

Carryover across budget periods requires prior approval.

If carryover is not automatic, the "Total Amount of Funds Obligated to Date" stated above may not reflect the actual balance available. The Subrecipient is responsible for tracking unobligated balances and subsequent carryover approvals from prior budget periods. In the event that funding was not fully expended by the Subrecipient during the prior period, the Subrecipient is not authorized to use funds from any prior periods, unless approval is granted by the PTE.

*For clarity: all amounts stated in this amendment are in United States Dollars.*

### All other terms and conditions of this Subaward Agreement remain in full force and effect.

By an Authorized Official of PTE:

Date

Name

Melissa Kramer

Title

Contracts Manager, Subawards

By an Authorized Official of Subrecipient:

\*Signature page attached

Date

Name

Title

**PIMA COUNTY APPROVALS:**

**APPROVED:**

\_\_\_\_\_  
Chair, Board of Supervisors

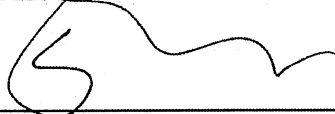
\_\_\_\_\_  
Date

**ATTEST:**

\_\_\_\_\_  
Clerk of Board

\_\_\_\_\_  
Date

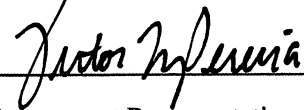
**APPROVED AS TO FORM:**

  
\_\_\_\_\_

Deputy County Attorney

2/24/22  
\_\_\_\_\_  
Date

**APPROVED AS TO CONTENT:**

  
\_\_\_\_\_

Department Representative

8 March 2022  
\_\_\_\_\_  
Date

**Attachment 2**  
**Federal Award Terms and Conditions**

Subaward Number

541282

**Required Data Elements**

The data elements required by Uniform Guidance are incorporated in the attached Federal Award.

**Awarding Agency Institute (If Applicable)**

Centers for Disease Control and Prevention

Federal Award Issue Date FAIN Assistance Listing No.

02/15/19

U48DP006413

93.135

**Assistance Listing Program Title (ALPT)**

Centers for Research and Demonstration for Health Promotion and Disease Prevention

**Key Personnel Per NOA**

**This Subaward Is:**



Research & Development



Subject to FFATA

**General Terms and Conditions**

By signing this Subaward, Subrecipient agrees to the following:

1. To abide by the conditions on activities and restrictions on expenditure of federal funds in appropriations acts that are applicable to this Subaward to the extent those restrictions are pertinent. This includes any recent legislation noted on the Federal Awarding Agency's website:

<https://www.cdc.gov/grants/index.html>

2. 2 CFR 200 and 45 CFR Part 75.

3. The Federal Awarding Agency's grants policy guidance, including addenda in effect as of the beginning date of the period of performance or as amended found at:

<https://www.cdc.gov/grants/documents/General-Terms-and-Conditions-Research-Awards.pdf>

4. Research Terms and Conditions, including any Federal Awarding Agency's Specific Requirements found at:

Attached (Attachment 6)

except for the following :

- a. No-cost extensions require the written approval of the PTE. Any requests for a no-cost extension shall be directed to the Financial Contact shown in Attachment 3A, not less than 30 days prior to the desired effective date of the requested change.
- b. Any payment mechanisms and financial reporting requirements described in the applicable Federal Awarding Agency Terms and Conditions and Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward; and
- c. Any prior approvals are to be sought from the PTE and not the Federal Awarding Agency.
- d. Title to equipment as defined in 2 CFR 200.1 that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall vest in the Subrecipient subject to the conditions specified in 2 CFR 200.313.
- e. Prior approval must be sought for a change in Subrecipient PI or change in Key Personnel (defined as listed on the NOA).

5. Treatment of program income: Additive

**Special Terms and Conditions:**

**Data Sharing and Access:**

Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and/or access requirements as reflected in the NOA or the Federal Awarding Agency's standard terms and conditions as referenced in General Terms and Conditions 1-4 above.

No additional requirements

**Data Rights:**

Subrecipient grants to PTE the right to use data created in the performance of this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

**Copyrights:**

Subrecipient Shall Grant to PTE an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Subrecipient grants to PTE the right to use any written progress reports and deliverables created under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Federal Award.

**Promoting Objectivity in Research (COI):**

Subrecipient must designate herein which entity's Financial Conflicts of Interest policy (COI) will apply: Subrecipient

If applying its own COI policy, by execution of this Subaward, Subrecipient certifies that its policy complies with the requirements of the relevant Federal Awarding Agency as identified herein: 42 CFR Part 50 Subpart F

Subrecipient shall report any financial conflict of interest to PTE's Administrative Representative or COI contact, as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward and within 45 days of any subsequently identified COI.

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**Work Involving Human or Vertebrate Animals** (Select Applicable Options)☐ No Human or Vertebrate Animals

IRB

☒ Human Subjects☐ Vertebrate Animals

The PTE requires verification of IRB and/or IACUC approval be sent to the  as required above:

Subrecipient agrees that any non-exempt human and/or vertebrate animal research protocol conducted under this Subaward shall be reviewed and approved by the appropriate Institutional Review Board (IRB) and/or its Institutional Animal Care and Use Committee (IACUC), as applicable and that it will maintain current and duly approved research protocols for all periods of the Subaward involving human and/or vertebrate animal research. Subrecipient certifies that the appropriate IRB and/or IACUC are in full compliance with applicable state and federal laws and regulations. The Subrecipient certifies that any submitted IRB / IACUC approval represents a valid, approved protocol that is entirely consistent with the Project associated with this Subaward. In no event shall Subrecipient invoice or be reimbursed for any human or vertebrate animals related expenses incurred in a period where any applicable IRB / IACUC approval is not properly in place.

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**Human Subjects Data** (Select One) 

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**Additional Terms**



## DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

## Notice of Award

Award# 5 U48DP006413-03-00

FAIN# U48DP006413

Federal Award Date: 06/23/2021

**Recipient Information****1. Recipient Name**

UNIVERSITY OF ARIZONA  
P O BOX 210158 Rm 510  
College of Ag & Life Sci  
Tucson, AZ 85721-0001  
[No Phone Record]

**2. Congressional District of Recipient**  
03**3. Payment System Identifier (ID)**

1742652689A1

**4. Employer Identification Number (EIN)**

742652689

**5. Data Universal Numbering System (DUNS)**

806345617

**6. Recipient's Unique Entity Identifier****7. Project Director or Principal Investigator**

Dr. Scott C. Carvajal  
Director, Health Behavior Promotion Programs  
scott.carvajal@arizona.edu  
(520)626-9026

**8. Authorized Official**

Mr. Paul Sandoval  
Director, Postaward Services  
sandoval@email.arizona.edu  
520.626.6000

**Federal Agency Information**

CDC Office of Financial Resources

**9. Awarding Agency Contact Information**

Ms. Sharon Cassell  
zpr0@cdc.gov  
770-488-2703

**10. Program Official Contact Information**

Ms. Natalie Darling  
Health Scientist  
NDH6@cdc.gov  
7704885740

**Federal Award Information****11. Award Number**

5 U48DP006413-03-00

**12. Unique Federal Award Identification Number (FAIN)**

U48DP006413

**13. Statutory Authority**

Section 1706 of the Public Health Services Act, as amended, 42 U.S.C. 300u-5, academic health centers, 42 U.S.C 300u-5(d) and Section 799B

**14. Federal Award Project Title**

Health Promotion and Disease Prevention Research Centers - 2019

**15. Assistance Listing Number**

93.135

**16. Assistance Listing Program Title**

Centers for Research and Demonstration for Health Promotion and Disease Prevention

**17. Award Action Type**

Non-Competing Continuation

**18. Is the Award R&D?**

Yes

**Summary Federal Award Financial Information****19. Budget Period Start Date** 09/30/2021 - **End Date** 09/29/2022**20. Total Amount of Federal Funds Obligated by this Action**

\$1,740,000.00

20a. Direct Cost Amount

\$1,408,726.00

20b. Indirect Cost Amount

\$331,274.00

**21. Authorized Carryover**

\$0.00

**22. Offset**

\$0.00

**23. Total Amount of Federal Funds Obligated this budget period**

\$0.00

**24. Total Approved Cost Sharing or Matching, where applicable**

\$0.00

**25. Total Federal and Non-Federal Approved this Budget Period**

\$1,740,000.00

**26. Project Period Start Date** 09/30/2019 - **End Date** 09/29/2024**27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period**

Not Available

**28. Authorized Treatment of Program Income**

ADDITIONAL COSTS

**29. Grants Management Officer - Signature**

Ms. Angie Willard  
Team Lead

**30. Remarks**



## DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

## Notice of Award

Award# 5 U48DP006413-03-00

FAIN# U48DP006413

Federal Award Date: 06/23/2021

**Recipient Information****Recipient Name**

UNIVERSITY OF ARIZONA  
P O BOX 210158 Rm 510  
College of Ag & Life Sci  
Tucson, AZ 85721-0001  
[No Phone Record]

**Congressional District of Recipient**

03

**Payment Account Number and Type**

1742652689A1

**Employer Identification Number (EIN) Data**

742652689

**Universal Numbering System (DUNS)**

806345617

**Recipient's Unique Entity Identifier**

Not Available

**31. Assistance Type**

Cooperative Agreement

**32. Type of Award**

Other

**33. Approved Budget**

(Excludes Direct Assistance)

**I. Financial Assistance from the Federal Awarding Agency Only****II. Total project costs including grant funds and all other financial participation**

<b>a. Salaries and Wages</b>	\$457,938.00
<b>b. Fringe Benefits</b>	\$134,751.00
<b>c. Total Personnel Costs</b>	\$592,689.00
<b>d. Equipment</b>	\$0.00
<b>e. Supplies</b>	\$6,627.00
<b>f. Travel</b>	\$21,896.00
<b>g. Construction</b>	\$0.00
<b>h. Other</b>	\$43,098.00
<b>i. Contractual</b>	\$744,416.00
<b>j. TOTAL DIRECT COSTS</b>	\$1,408,726.00
<b>k. INDIRECT COSTS</b>	\$331,274.00
<b>l. TOTAL APPROVED BUDGET</b>	\$1,740,000.00
<b>m. Federal Share</b>	\$1,740,000.00
<b>n. Non-Federal Share</b>	\$0.00

**34. Accounting Classification Codes**

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
0-939ZRBX	19U48DP006413	DP	41.41	\$0.00	75-20-0948
0-939ZRFA	19U48DP006413	DP	41.41	\$0.00	75-20-0948
0-939ZTGP	19U48DP006413	DP	41.41	\$0.00	75-20-0948
1-9390GLZ	19U48DP00641320C5	DP	41.41	\$0.00	75-2124-0943
1-939ZRBX	19U48DP006413	DP	41.41	\$300,000.00	75-21-0948
1-939ZRFA	19U48DP006413	DP	41.41	\$690,000.00	75-21-0948
1-939ZTGP	19U48DP006413	DP	41.41	\$750,000.00	75-21-0948



# AWARD ATTACHMENTS

UNIVERSITY OF ARIZONA

5 U48DP006413-03-00

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1. Terms and Conditions

## 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 **RFA-DP19-001, entitled Health Promotion and Disease Prevention Research Centers**, and application dated April 21, 2021, 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 **\$1,740,000** is approved for the Year 03 budget period, which is September 30, 2021 through September 29, 2022. 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.

NOFO Component	Amount
Core	\$750,000
SIP19-003	\$340,000
SIP19-005	\$300,000
SIP20-006	\$350,000
Total Approved Budget	\$1,740,000

**Administrative Correction to COVID Supplement's Budget Period:** This notice of award corrects the budget period for the CORE COVID Supplement to reflect May 11, 2021 to May 10, 2022. The COVID Supplement crosses two budget periods ending on May 10, 2022.

**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.

CDC staff will have substantial programmatic involvement that is above and beyond the normal stewardship role in awards, as described below, the PRC Program will:

- Assisting the PI, as needed, in complying with the Investigator responsibilities described in the Policy on Public Health Research and Nonresearch Data Management and Access

<http://intranet.cdc.gov/od/oads/spa/dma/index.html>

- Ensure that research conducted aligns with CDC public health priorities and the goals and objectives of PRC Program cooperative agreements.
- Provide consultation and other technical assistance to develop annual action plans, and required reports.
- Provide consultation and other technical assistance to help awardees collect and report PERS data for the PRC Program evaluation.
- Provide technical assistance on the use of the CDC Acknowledgement Statement and PRC Program's Branding Guidelines for Communication and Dissemination products.
- Conduct site visits of PRCs to provide programmatic and scientific consultation and technical assistance to meet program objectives and cooperative agreement requirements.
- Convene PRC Program meetings and Communities of Practice to facilitate research collaboration and information sharing.
- Serve as a scientific and programmatic resource for PRC Network committees and activities.
- Promote dissemination of awardee research projects, products, and Center Core activities. Promote translation of promising PRC and SIP interventions.
- Evaluate recipient progress in meeting PRC program goals and objectives.
- Additionally, an HHS/CDC Project Officer or other HHS/CDC staff will provide day-to-day programmatic, administrative, and fiscal management in support of the project as defined below.

The PRC Program Project Officer will:

- Be named in the Notice of Grant Award as the Project Officer;
- Monitor performance against approved budgets, budget justifications, annual action plan objectives and activities;
- Provide programmatic, administrative, and technical assistance to the awardees;
- Make recommendations on requests for changes in scope, objectives, and/or budgets that deviate from the approved peer-reviewed application;
- Facilitate the exchange of information with other CDC programs so that public health efficiencies are reached and effectiveness findings are disseminated quickly between CDC and its awardees.
- Promote dissemination of promising practices, programs, interventions, and other research findings and products; and
- Assess the public health impact of the Core Research Project and assure translation of promising practices, policies, programs, interventions, and other research findings and products.

Additionally, an HHS/CDC agency Scientific Program Official will be responsible for the normal scientific and programmatic stewardship of the award.

The ERPOS Scientific Program Official will be:

- Named in the Notice of Award (NoA) as the Scientific Program Official to provide scientific oversight and assure overall scientific and programmatic stewardship of the award;
- Monitor performance against approved project objectives; and
- Assure assessment of the public health impact of the research conducted under this funding opportunity announcement.

**Data Management Plan (SIP19-003):** As identified in the NOFO, a data management plan is required. The recipient is required to submit a Data Management Plan to the Scientific Program Official noted in the Staff Contacts section of this NoA, no later than 30 days from the budget period start date due October 30, 2021.

**Expanded Authority:** The recipient is permitted expanded authorities in the administration of the award.

The expanded authorities selected below apply to this NoA.

- ☒ Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report submitted in eRA Commons. If the GMO determines that some or all the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.
- ☒ Extension of final budget period of a period of performance without additional funds up to 12 months with no change in the scope of work to ensure adequate completion of the originally approved project or program. The recipient must notify the awarding office, in writing, of the extension 10 days before the expiration date of the period of performance. Upon notification, the awarding office will revise the period of performance ending date and provide an acknowledgement to the recipient.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

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

#### **FUNDING RESTRICTIONS AND LIMITATIONS**

##### **Programmatic Restriction for new Co-Principle Investigator Refugio Sepulveda:**

**Human Subjects Restriction (SIP19-003):** Research involving human subjects cannot begin until a copy of the IRB approval letter for each of the institution sites is submitted and a revised NoA releasing the restriction is issued, in writing, by the Grants Management Officer.

- A funding restriction in the amount of **\$34,000** has been placed on this award pending IRB approvals.
- The restriction applies to the following budget items or budget categories **salaries**.

Recipients are advised that documentation for key personnel and other significant contributors involved in the design or conduct of research, that demonstrates completion of an education program in the protection of human subjects, may be required to be submitted concurrently. The recipient should contact the Scientific Program Official noted in the Staff Contacts section of this NoA for more information on Human Subjects Restriction release.

**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 based on the negotiated indirect cost rate agreement dated December 15, 2018. The rates in this agreement are to be used for remainder of the competitive segment in accordance with 45 CFR Part 75. Indirect cost/facilities and administration rates for subcontracts will be treated in the same manner as those for the remainder, if the subcontractor is covered by 45 CFR Part 75.

<b>REPORTING REQUIREMENTS</b>
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**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  
Sharon Cassell, Grants Management Specialist/Officer (GMS/GMO)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
Research Branch 2, Team 1  
Tel: 770-488-2703 |Email: [scassell@cdc.gov](mailto:scassell@cdc.gov)

AND

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

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

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

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

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

#### **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 to draw down funds.

**Sub-account Number:** 19U48DP006413

#### **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.

##### **GMS Contact:**

Sharon Cassell, Grants Management Specialist/Officer (GMS/GMO)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCCO)  
Centers for Disease Control and Prevention (CDC)  
Research Branch 2, Team 1  
Tel: 770-488-2703 | Email: [scassell@cdc.gov](mailto:scassell@cdc.gov)

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

**Programmatic Contact:**

Donna K. Henry, MPH, RD

Team Lead

Centers for Disease Control and Prevention (CDC)

National Center for Chronic Disease Prevention and Health Promotion

Prevention Research Centers (PRC)

Telephone: 770-488-2462

Email: [ijw8@cdc.gov](mailto:ijw8@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:**

Grants Management Officer/Specialist

Ferrinnia (Toni) Augustus-High, MSA, CGMS

Grants Management Specialist/Officer (GMS/GMO)

Centers for Disease Control and Prevention (CDC)

Office of Financial Resources (OFR)

Office of Grants Services (OGS)

Research Branch 2, Team 1

Telephone: 770-488-2906

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