



BOARD OF SUPERVISORS AGENDA ITEM REPORT
CONTRACTS / AWARDS / GRANTS

☐ Award ☐ Contract ☒ Grant

Requested Board Meeting Date: October 15, 2019

or Procurement Director Award ☐

** = Mandatory, information must be provided*

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

Johns Hopkins University

***Project Title/Description:**

Enhancing Women, Infants and Children (WIC) Services: Utilizing Innovation Technology to Maximize Participation and Retention

***Purpose:**

This grant award through the Hopkins Participant Research Innovation Laboratory (HPRIL) will allow WIC to develop and implement WICBuzz. WICBuzz is an innovating drip marketing text message campaign that will send culturally appropriate messaging to families on a monthly basis. The messages will provide families with resources and tips for improving their nutrition, resulting in increased utilization of eligible benefits, and timely recertification.

***Procurement Method:**

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

***Program Goals/Predicted Outcomes:**

Through its participation in HPRIL, the goal of PCHD WIC is to design and test an innovative and replicable interactive tool, WICBuzz, to improve WIC program retention of children ages 1-4. Additionally, PCHD WIC will document the planning strategies and activities of the tool development for use by WIC clinics and agencies beyond Pima County.

***Public Benefit:**

Currently in Pima County, 44% of eligible infants do not recertify in WIC after their first birthday and the annual recertification rates tend to decrease as WIC-eligible children age. This means that many WIC-eligible children are not receiving the full nutrition benefit of the program. The goal of WICBuzz is to add value to the WIC Program experience by sharing age and culturally appropriate messaging, including key messages about program requirements and benefits. Participants will be encouraged to maximize WIC food benefits for their children ages 1-5 and receive the full nutritional benefit of program participation.

***Metrics Available to Measure Performance:**

Completion of project work and evaluation plans, including detailed data analysis of food redemption and program retention rates before and after implementation of the WICBuzz tool. Completion of documentation of planning strategies and activities of the tool development for use by WIC clinics and agencies to replicate the tool, if proven successful.

***Retroactive:**

Yes. Although the grant period began 9/1/2019, the subaward agreement was not received until 9/25/19. 10/15/19 is the earliest BOS date for approval.

GMI approved *DH* 10/9/19
Revised 5/2018

OCT 09 19 PM 12:49 PCD CLK OF PD

AKS

Contract / Award Information

Document Type: _____ Department Code: _____ Contract Number (i.e., 15-123): _____
Effective 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 22-73.

Amendment / Revised Award Information

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

Amendment No.: _____ AMS Version No.: _____

Effective 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 ☐ Amendment

Document Type: GTAW Department Code: HD Grant Number (i.e., 15-123): 20-40

Effective Date: 09/01/2019 Termination Date: 02/28/2021 Amendment Number: 00

☐ Match Amount: \$ _____ ☒ Revenue Amount: \$ 132,704.00

***All Funding Source(s) required:** U.S. Department of Agriculture (USDA)

***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)?**

USDA funds via Johns Hopkins University

Contact: Sharon Grant

Department: Health Telephone: 724-7842

Department Director Signature/Date: [Signature] 10/1/2019

Deputy County Administrator Signature/Date: [Signature] 10/2/2019

County Administrator Signature/Date: [Signature] 10/2/19
(Required for Board Agenda/Addendum Items)

GRANT APPLICATION APPROVAL REQUEST



Instructions: Fill out the top section of this form completely. Contact the program Grants Management & Innovation (GMI) Lead if you require assistance (724-2240). Email your completed request to: GMI@pima.gov. Your request will be forwarded to County Administration for review. Notification of approval requests should be submitted at least 15 business days prior to the application's submission deadline (AP 5-1 Procedure).

Requesting department or entity:	Health (HD)	Date: 05/09/2019
Contact information:	Name: Jennifer Chancay	Telephone: 724-7792
Funding opportunity title:	Hopkins/USDA Participant Research Innovation Laboratory for Enhancing WIC	
Link to opportunity:	https://www.jhsph.edu/departments/population-family-and-reproductive-health/	
Funding agency:	USDA/John Hopkins University	
Amount to be requested:	\$150,000.00	
Due date:	May 24, 2019	
What are you going to spend the money on?	An award will fund the implementation of innovative solutions to increase WIC retention for families with children aged 1-4. Funds	
What will be the benefit to Pima County?	Pima County's WIC program serves over 9,000 families every month. WIC-eligible children who receive services have been found	
Indirect costs -- check one:	<input checked="" type="checkbox"/> I will be requesting indirect costs <input type="checkbox"/> I have attached a request for waiver of indirect costs (GMI Intranet) <input type="checkbox"/> I need help understanding indirect costs	
By: <u>Mary M. Toranzo</u> Date: <u>5.09.2019</u> Department Director or Designee		

GRANT COST/BENEFIT ANALYSIS

To be completed by GMI staff

CFDA No.	N/A	GLM No.	19*108
Competitive Criteria:	Agencies must identify and implement tools that will attempt to address one or more risk factors for early termination and improve retention rates. Agencies are expected to include evidence from their MIS data to support the selection of their target population.		
Other Factors:	Project Period is 18 months and includes planning, implementation and evaluation phases.		
Number of Awards:	3-5 local WIC agencies will be chosen to receive an award		

Match or In-kind Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If required what is the amount/percent: _____	
Allowable Indirect Rate: 36% If indirect is not allowed, attach documentation.	
Terms Notes (e.g. unusual restrictions, reporting burdens, etc.):	Travel to Baltimore for technical assistance training and travel to USDA/FNS site for final reporting workshop required. Requires quarterly progress and financial reports, as well as monthly calls and a final report due within 2 months of project end.
Will this project require additional office/project space? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Will this project require staff time that cannot be paid for by the grant? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Will your project require any equipment items over \$5,000 per item? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Does the proposal use a fixed price contract? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Is this project subject to Human Subjects compliance? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Does this project involve subrecipients? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Is there a Statutory Funding Preference from the funding agency? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
List any other proposal or funder specific requirements:	A letter of commitment from the State Agency is required. Only one application per agency will be considered. Funds may be allocated for local data analysis consultant.
GMI notes & recommendations: Applicant informed us that this project is a priority for the Arizona Department of Health Services, and that they were encouraged by ADHS to apply with ADHS' support. GMI recommends approval.	
By:  _____ Date: <u>5/10/19</u>	
Approval Request	
Approved: <input checked="" type="checkbox"/> Not Approved: <input type="checkbox"/> Subject to Further Review: <input type="checkbox"/> Yes <input type="checkbox"/> No	
If your project is subject to further review, please contact your GMI Lead to discuss necessary revisions prior to resubmission of the Grant Approval Application Request.	
By:  _____ Date: <u>5/12/19</u>	
County Administrator or Designee	

FDP Fixed Price Research Subaward Agreement

Federal Awarding Agency: Other [Type in Agency] United States Dept of Agriculture	
Pass-Through Entity (PTE): Johns Hopkins University	Subrecipient: Pima County, Arizona
PTE PI: David Paige	Sub PI: Jennifer Chancay
PTE Federal Award No: OPS-WIC-PRIL-JH-2018	Subaward No:
Project Title: Enhancing WIC Services: Utilizing Innovation Technology to Maximize Participation and Retention	
Subaward Period of Performance (Budget Period): Start: 09/01/2019 End: 02/28/2021 Amount Funded This Action (USD): \$ 132,704.00	
Estimated Project Period (if incrementally funded): Start: End: Incrementally Estimated Total (USD): \$	

Terms and Conditions

1. PTE hereby awards a fixed price Subaward, as described above, to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.
2. PTE shall provide funding in accordance with the Payment Schedule shown in Attachment 5. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include the deliverable completed and milestone payment amount, Subaward number, and certification, as required in 2 CFR 200.415 (a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the appropriate party's Financial Contact, shown in Attachment 3A.
3. A final invoice, marked "FINAL" must be submitted to PTE's Financial Contact, as shown in Attachment 3A, not later than 60 days after the Project Period. PTE shall make the final payment to Subrecipient upon completion of all required deliverables and reports as indicated in Attachments 4 and 5.
4. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305.
5. Matters concerning the technical performance of this Subaward shall be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.
6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward, and any changes requiring prior approval, shall be directed to each party's Administrative Contact, as shown in Attachments 3A and 3B. Any such change made to this Subaward requires the written approval of each party's Authorized Official, as shown in Attachments 3A and 3B.
7. The PTE may issue non-substantive changes to the Period of Performance and budget Unilaterally. Unilateral modification shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient when sent to Subrecipient's Authorized Official Contact, as shown in Attachment 3B.
8. Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
9. Either party may terminate this Subaward with 30 days written notice to the appropriate party's Authorized Official Contact, as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 75 Appendix IX, as applicable.
10. By signing this Subaward, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachment 2. The parties further agree that they intend this Subaward to comply with all applicable laws, regulations and requirements.

By an Authorized Official of Pass-through Entity:

Name: Sandra Fink Date
Title: Subawards Associate, JHURA

By an Authorized Official of Subrecipient:

Name: Richard Elias Date
Title: Chairman, Board of Supervisors

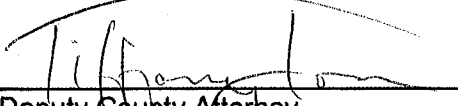
PIMA COUNTY ADDITIONAL SIGNATURES

ATTEST

Clerk of the Board

Date

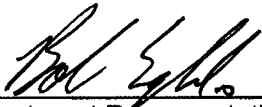
APPROVED AS TO FORM



Deputy County Attorney
9/30/19

Date

APPROVED AS TO CONTENT



Department Representative
10/1/2019

Date

Attachment 1
Certifications and Assurances

Subaward Number:

Certification Regarding Lobbying (2 CFR 200.450)

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief, that no Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement in accordance with 2 CFR 200.450.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the PTE.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters (2 CFR 200.213 and 2 CFR 180)

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief that neither the Subrecipient nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency, in accordance with 2 CFR 200.213 and 2 CFR 180.

Audit and Access to Records

Per 2 CFR 200.501- 200.521, Subrecipient certifies that it will provide notice of any adverse findings which impact this Subaward and will provide access to records as required by parts 2 CFR 200.336, 200.337, and 200.201 as applicable. If Subrecipient is not subject to the Single Audit Act, then Subrecipient will provide notice of the completion of any required audits and provide access to such audits upon request.

Program for Enhancement of Contractor Employee Protections (41 U.S.C 4712)

Subrecipient is hereby notified that they are required to: inform their employees working on any federal award that they are subject to the whistleblower rights and remedies of the pilot program; inform their employees in writing of employee whistleblower protections under 41 U.S.C §4712 in the predominant native language of the workforce; and include such requirements in any agreement made with a subcontractor or subgrantee.

The Subrecipient shall require that the language of the certifications above in this Attachment 1 be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Use of Name

Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may use factual information regarding the existence and purpose of the relationship that is the subject of this Subaward for legitimate business purposes, to satisfy any reporting and funding obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.

Attachment 2
Federal Award Terms and Conditions

Subaward Number

Required Data Elements

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

Federal Award Issue Date FAIN CFDA No.

CFDA Title

This Subaward Is:

☒ Research & Development ☐ Subject to FFATA

Key Personnel Per NOA

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://nifa.usda.gov/grants>

2. 2 CFR 200

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://nifa.usda.gov/grants>

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

<https://nifa.usda.gov/grants>

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 200.33 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:

This section intentionally left blank

Special Terms and Conditions:

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.

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.

Data Sharing and Access (Check if applicable):

☐ Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and access requirements as reflected in the NOA (or in the special terms below) and the Data Management/Sharing Plan submitted to the Federal Awarding Agency and .

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: **United States Department of Agriculture**

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.

Work Involving Human or Vertebrate Animals (Select Applicable Options)

☒ No Human or Vertebrate Animals

This section left intentionally blank.

Human Subjects Data (Select One)

Not Applicable

This section left intentionally blank

Additional Terms

From JHU Prime Award: Subrecipient hereby assures and certifies that they will comply with the regulations, policies, guidelines and requirements as they relate to the applications, acceptance, and use of Federal funds for this Federally-assisted project including: 2 CFR Chapter I (Office of Management and Budget Government-wide Guidance for Grants and Agreements) and Chapter II (Office of Management and Budget Guidance) as well as 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards); and any USDA implementing regulations, such as 2 CFR Part 400 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), 2 CFR Part 415 (General Program Administrative Regulations), 2 CFR Part 416 (General Program Administrative Regulations for Grants and Cooperative Agreements to State and Local Governments).

Additional term inserted at request of Subrecipient:

1. Cancellation for Conflict of Interest: This Subagreement is subject to cancellation for conflict of interest pursuant to ARS Section 38-511, the pertinent provisions of which are incorporated into this Subagreement by reference.

Attachment 3A
Pass-Through Entity (PTE) Contacts

Subaward Number:

PTE Information

Entity Name: Johns Hopkins University

Legal Address:

Website:

PTE Contacts

Central Email:

Principal Investigator Name: David Paige

Email: dpaige@jhsp.h.edu

Telephone Number: (410) 955-3804

Administrative Contact Name: Sandra Fink

Email: sfink6@jhu.edu

Telephone Number: 443-997-1896

COI Contact email (if different to above):

Financial Contact Name: Erin Wick

Email: ecrotty@jhu.edu

Telephone Number: (410) 614-2201

Email invoices? ☒ Yes ☐ No Invoice email (if different):

Authorized Official Name: Sandra Fink

Email: sfink6@jhu.edu

Telephone Number: 443-997-1896

PI Address:

Johns Hopkins University Bloomberg School of Public Health
Department of Population, Family and Reproductive Health
615 N. Wolfe Street, Suite W4547
Baltimore, MD 21205

Administrative Address:

Johns Hopkins University Research Administration
1101 E. 33rd St, B001
Baltimore, MD 21218

Invoice Address:

Johns Hopkins University Bloomberg School of Public Health
Department of Population, Family and Reproductive Health
615 N. Wolfe Street, Suite #4518
Baltimore, MD 21205

Attachment 3B
Subrecipient Contacts

Subaward Number:

Subrecipient Information for FFATA reporting

Entity's DUNS Name: Pima County Health Department

EIN No.: 866000543

Institution Type: Other

DUNS: 144733792

Currently registered in SAM.gov: ☒ Yes ☐ No

Exempt from reporting executive compensation: ☒ Yes ☐ No (if no, complete 3Bpg2)

Parent DUNS: 074477969

This section for U.S. Entities:

Zip Code Look-up

Place of Performance Address

Congressional District: 02

Zip Code+4:

85714-2226

Pima County Health Department
3950 S. Country Club Rd., Suite 100
Tucson, AZ 85714

Subrecipient Contacts

Central Email:

Website:

webcms.pima.gov/health

Principal Investigator Name: Jennifer Chancay

Email: Jennifer.Chancay@pima.gov

Telephone Number: (520)724-7792

Administrative Contact Name: Sharon Grant

Email: Sharon.Grant@pima.gov

Telephone Number: (520)724-7842

Financial Contact Name: Candy Moore

Email: Candy.Moore@pima.gov

Telephone Number: (520)724-7783

Invoice/Payment Email: Candy.Moore@pima.gov

Authorized Official Name: Donald Gates

Email: Donald.Gates@pima.gov

Telephone Number: (520)724-7843

Legal Address:

Pima County
130 W. Congress
Tucson, AZ 85701

Administrative Address:

Pima County Health Department
3950 S. Country Club Rd., Suite 100
Tucson, AZ 85714

Payment Address:

Pima County Grants Management, Finance
130 W. Congress, Floor 4
Tucson, AZ 85701

Attachment 3B-2
Highest Compensated Officers

Subaward Number:

Subrecipient:

Institution Name:

PI Name:

Highest Compensated Officers

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name:

Officer 1 Compensation:

Officer 2 Name:

Officer 2 Compensation:

Officer 3 Name:

Officer 3 Compensation:

Officer 4 Name:

Officer 4 Compensation:

Officer 5 Name:

Officer 5 Compensation:

Attachment 4
Reporting and Prior Approval Terms

Subaward Number:

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

Technical Reports:

- ☐ Monthly technical/progress reports will be submitted to the PTE's within days of the end of the month.
- ☒ Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE's
- ☐ Annual technical / progress reports will be submitted within days prior to the end of each budget period to the PTE's . Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- ☒ A Final technical/progress report will be submitted to the PTE's within days of the end of the Project Period or after termination of this award, whichever comes first.
- ☒ Technical/progress reports on the project as may be required by PTE's in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.

Prior Approvals:

Carryover is not applicable for fixed price Subawards

Other Reports:

- ☐ A Certification of Completion, in accordance with 2 CFR 200.201(b)(3), will be submitted days after the end of the Project Period to the PTE's
- ☒ In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE's within days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's within 60 days of the end of the Project Period to be included as part of the PTE's final invention report to the Federal Awarding Agency.
A negative report is required:
- ☐ Property Inventory Report (only when required by Federal Awarding Agency), specific requirements below.

Other Special Reporting Requirements:

Progress and Financial Detail Reports are due according to FNS quarterly due dates:

FNS Quarterly Reports Project Period of Reporting Reports Due Date to JHU (see also Milestone Payment Schedule in Attachment 5)

4TH QTR 2019 Period of Reporting: 09/01/19 – 09/30/19 Report Due Date: 10/15/2019

1ST QTR 2020 Period of Reporting 10/01/19 – 12/31/19 Report Due Date: 01/15/2020

2ND QTR 2020 Period of Reporting 01/01/20 – 03/31/20 Report Due Date: 04/15/2020

3RD QTR 2020 Period of Reporting 04/01/20 – 06/30/20 Report Due Date: 07/15/2020

4TH QTR 2020 Period of Reporting 07/01/20 – 09/30/20 Report Due Date: 10/15/2020

1ST QTR 2021 Period of Reporting 10/01/20 – 12/31/20 Report Due Date: 01/15/2021

2ND QTR 2021 Period of Reporting 01/01/21 – 02/28/21 Report Due Date: 04/15/2021

Final Progress and Final Detail Financial reports will be due 30 days after the end of the Subagreement.

Attachment 5
Statement of Work, Indirects, & Payment Schedule

Subaward Number:

Statement of Work

☒ Below ☐ Attached, pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a *Subrecipient Federal Award Project Description*

Plan, implement, and evaluate a culturally-tailored text message-based drip marketing campaign with the goal of improving WIC client experience and child retention in the WIC Program.

Budget & Milestone Information

Indirect Information

Indirect Cost Rate (IDC) Applied: % Rate Type:

Milestone Details

☐ Below ☒ Attached, pages

MILESTONE PAYMENT SCHEDULE

Milestone #	Amount	Milestone Description	Deliverables	Estimated Date	Technical & Financial Report Due
1	\$53,424	Subaward execution 9/1/2019		9/1/2019	See Attached for all Due dates
2	\$38,802	Period 3/1/2020-8/31/2020	2nd disbursement (March 2020): 6-months of project work + Q4 ,2019 technical and financial report submission and approval (due: Oct 15, 2019) + Q1, 2020 technical and financial report submission and approval (due: Jan 15, 2020)	3/31/2020	
3	\$40,478	Period 9/1/2020-2/28/2021	3rd disbursement (September 2020): 6-months of project work + Q2, 2020 technical and financial report submission and approval (due: April 15, 2020) + Q3, 2020 technical and financial report submission and approval (due: July 15, 2020)	9/1/2020	
Total:	\$132,704				

Progress and Financial Detail Reports are due according to FNS quarterly due dates:

FNS Quarterly Reports	Project Period of Reporting	Reports Due Date to JHU
4 TH QTR 2019	09/01/19 – 09/30/19	10/15/2019
1 ST QTR 2020	10/01/19 – 12/31/19	01/15/2020
2 ND QTR 2020	01/01/20 – 03/31/20	04/15/2020
3 RD QTR 2020	04/01/20 – 06/30/20	07/15/2020
4 TH QTR 2020	07/01/20 – 09/30/20	10/15/2020
1 ST QTR 2021	10/01/20 – 12/31/20	01/15/2021
2 ND QTR 2021	01/01/21 – 02/28/21	04/15/2021

Subaward Number:

Attachment 6


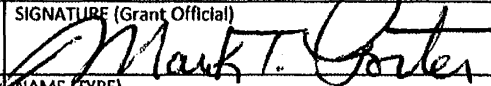
Notice of Award (NOA) and any additional documents



The following pages include the NOA and if applicable any additional documentation referenced throughout this Subaward.



Not incorporating the NOA or any additional documentation to this Subaward.

UNITED STATES DEPARTMENT OF AGRICULTURE - FOOD AND NUTRITION SERVICE		1. GRANT/AGREEMENT NO OPS-WIC-PRIL-JH-2018		2. FEDERAL AWARD DATE 08/31/2018	
GRANT/COOPERATIVE AGREEMENT		3. IS THIS AN R&D AWARD? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		5. UNIVERSAL IDENTIFIER NUMBER (DUNS) 0019107770000	
		4. CFDA NUMBER 10.540		6. FEDERAL AWARD IDENTIFICATION NUMBER (FAIN)	
		7. FEDERAL AWARDDING AGENCY Dawn Addison USDA Food and Nutrition Service		8. CFDA NAME Participant Research Innovation Laboratory for Enhancing WIC Services	
9. RECIPIENT NAME Johns Hopkins University 3910 Keswick Road Baltimore, MD 21211-2240		10. ACCOUNTING AND APPROPRIATION DATA FN.WI.7090.01.0100		11. AMOUNT OF FEDERAL FUNDS OBLIGATED BY THIS ACTION	
				12. TOTAL AMOUNT OF FEDERAL FUNDS OBLIGATED	
				13. TOTAL AMOUNT OF THE FEDERAL AWARD	
14. PLACE OF PERFORMANCE MD: Maryland		15. BUDGET APPROVED BY AWARDDING AGENCY			
		16. TOTAL APPROVED COST SHARING/MATCHING (WHERE APPLICABLE) \$0.00		17. INDIRECT COST RATE FOR THE FEDERAL AWARD (PLEASE INCLUDE IF THE DE MINIMIS RATE IS CHARGED) 29.5%	
18. MAIL REQUESTS FOR REIMBURSEMENT TO Payments made via ASAP Letter of Credit		19. SPONSOR(SPONSORING FNS PROGRAM) Karen Castellanos-Brown, OPS			
		20. START DATE 09/17/2018		21. END DATE 09/30/2021	
22. FEDERAL AWARD PROJECT DESCRIPTION Enhancing WIC Services: Utilizing Innovation Technology to Maximize Participation and Retention					
The Grantee/Cooperator hereby assures and certifies that they will comply with the regulations, policies, guidelines and requirements as they relate to the applications, acceptance, and use of Federal funds for this Federally-assisted project including: 2 CFR Chapter I (Office of Management and Budget Government-wide Guidance for Grants and Agreements) and Chapter II (Office of Management and Budget Guidance) as well as 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards); and any USDA implementing regulations, such as 2 CFR Part 400 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), 2 CFR Part 415 (General Program Administrative Regulations), 2 CFR Part 416 (General Program Administrative Regulations for Grants and					
23. REMARKS					
SIGNATURE OF GRANTEE/COOPERATOR			UNITED STATES OF AMERICA		
SIGNATURE (Authorized Individual) 		DATE 9/12/2018		SIGNATURE (Grant Official) 	
NAME (Type) Tom Mattern, MBA		NAME (TYPE) Lael J. Lubing		DATE 9/17/18	
TITLE Grants Associate		TITLE Director, Grants & Fiscal Policy Division			
TELEPHONE NUMBER 443-997-1930		TELEPHONE NUMBER 703-305-2048			