February 21, 2017

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

AUTHORIZATION TO ACCEPT A NOTICE OF AWARD, THREE AWARD AMENDMENTS, AND FUTURE AWARDS AND/OR AMENDMENTS FROM THE CENTERS FOR DISEASE CONTROL AND PREVENTION TO SUPPORT ZIKA VIRUS ACTIVITIES (ALL SUPERVISORIAL DISTRICTS) (3 VOTES)

SUBJECT

Provide authorization to accept and implement a Notice of Award and three Award Amendments from the Centers for Disease Control and Prevention and future awards and/or amendments to support the Department of Public Health’s provision of Zika virus activities for the period of September 1, 2016 through August 31, 2021.

IT IS RECOMMENDED THAT THE BOARD:

1. Authorize and instruct the Director of the Department of Public Health (DPH), or her designee, to accept and implement: a) Notice of Award (NA) Number 1NU50DD000046 01 00 (Exhibit I), from the Centers for Disease Control and Prevention (CDC), Catalog of Federal Domestic Assistance Number 93.073, in the amount of $720,000 for the budget period of September 30, 2016 through September 29, 2017; b) NA Number 6NU50DD000046 01 01 (Exhibit II), from the CDC, which modifies the project period to September 1, 2016 through August 31, 2021; c) NA Number 6NU50DD000046 01 02 (Exhibit III), from the CDC, which approves a revised budget and DPH’s response to a summary statement/technical review; and d) NA Number 6NU50DD000046 01 03 (Exhibit IV), from the CDC, which provides supplemental funds in the amount of $360,000 for the period of December 30, 2016 through August 31, 2017, to support DPH’s Children’s Medical Services (CMS) Zika virus activities.

2. Delegate authority to the Director of DPH, or her designee, to accept future awards and/or amendments that are consistent with the requirements of NA Number 1NU50DD000046 01 00 that
extend the term through August 31, 2021; at amounts to be determined by the CDC; reflect non-material and/or ministerial revisions to the award’s terms and conditions; allow for the rollover of unspent funds and/or redirection of funds; adjust the term of the award through February 28, 2022; and/or provide an increase or decrease in funding in amounts to be determined by the CDC, subject to review and approval by County Counsel, and notification to your Board and the Chief Executive Office (CEO).

3. Delegate authority to the Director of DPH, or her designee, to accept future awards and/or amendments from the CDC that provide additional support for DPH to provide other Zika virus related activities through August 31, 2021; at amounts to be determined by the CDC; reflect non-material and/or ministerial revisions to the award’s terms and conditions; allow for the rollover of unspent funds and/or redirection of funds; and/or provide an increase or decrease in funding in amounts to be determined by the CDC, subject to review and approval by County Counsel, and notification to your Board and the CEO.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

Approval of Recommendation 1 will allow DPH to accept an NA and three (3) NA Amendments from the CDC, for a five (5) year project period, that provide support to CMS to: a) provide Zika virus prevention education; b) improve surveillance of possible/confirmed birth defects in infants whose mothers have been exposed to/infected with the Zika virus during pregnancy; c) enroll and follow infants with suspected prenatal Zika exposure and/or identified birth defects into diagnostic and treatment services; and d) provide referrals to assist families to access care for children with special needs and help children and adults with developmental disabilities caused by Zika infection.

Los Angeles County is identified as one of the five high-risk counties for which the CDC has targeted attention and funding to establish, enhance, and maintain local mechanisms to rapidly ascertain Zika infection and related, resulting birth defects. These birth defects may include microcephaly and other brain, eye, and auditory abnormalities; neural defects; and other brain malformations, and central nervous system dysfunction, consistent with the CDC Zika-related birth defects case definition. This funding also supports ongoing diagnostic and treatment follow-up and health care services for newborns/infants who are suspected or confirmed to have been exposed to the Zika virus in utero.

Approval of Recommendation 2 will allow DPH to accept future awards and/or amendments that are consistent with the requirements of the CDC NA to extend and/or adjust the term of the award, at amounts to be determined by the CDC; reflect non-material revisions to the award’s terms and conditions; rollover unspent funds and/or redirect funds; and/or provide an increase or decrease in funding in amounts to be determined by the CDC. This recommended action will enable DPH to accept future awards and/or amendments that adjust the project period up to six months beyond the original term, in those instances where there has been an unanticipated extension of the term to allow additional time to complete services and utilize grant funding. This authority is being requested to enhance DPH’s efforts to expeditiously maximize grant revenue, consistent with Board Policy 4.070: Full Utilization of Grant Funds.

Approval of Recommendation 3 will allow DPH to accept future awards and/or amendments from the CDC that provide additional support to various DPH programs to provide other Zika virus related activities, at amounts to be determined by the CDC; reflect non-material revisions to the award’s terms and conditions; rollover unspent funds and/or redirect funds; and/or provide an increase or decrease in funding in amounts to be determined by the CDC.
Implementation of Strategic Plan Goals
The recommended actions support Strategy I.1, Increase Our Focus on Prevention Initiative, and Strategy II.2, Support The Wellness of Our Communities, of the County’s Strategic Plan.

FISCAL IMPACT/FINANCING

DPH will accept NA Number 1NU50DD000046-01-00 in the amount of $720,000 and three (3) NA amendments from the CDC which include a supplemental award in the amount of $360,000 for a total amount of $1,080,000 for the budget period of September 1, 2016 through August 31, 2017. The NA project period is estimated to be five (5) years with future annual amounts to be determined by the CDC.

Funding is included in DPH’s fiscal year (FY) 2016-17 Final Adopted Budget and will be included in future FYs, as necessary.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

CMS was designated as the lead program in DPH to respond to the CDC’s funding opportunity to support Zika virus related activities and submitted an application requesting $720,000. CDC notified CMS that the application was awarded, and on August 30, 2016 the CDC issued NA Number 1NU50DD000046-01-00 in the amount of $720,000. On September 8, 2016, the CDC issued a NA amendment to advance the start date from September 30, 2016 to September 1, 2016. On November 1, 2016, CMS submitted a technical review response and requested budget modifications, which were approved through a NA amendment issued by the CDC on November 23, 2016. On November 14, 2016, the CDC notified CMS that supplemental funds were available for the project, and CMS submitted an application requesting $360,000. On December 19, 2016, the CDC issued a NA amendment approving supplemental funding in the amount of $360,000.

Future award amounts under this NA will be determined by the CDC.

County Counsel has approved Exhibits I through IV as to use. Attachment A is the Grants Management Statement for Grants Exceeding $100,000.

CONTRACTING PROCESS

To comply with the requirements of the NA, CMS is currently working with the California Department of Public Health to identify data needed for surveillance activities. DPH will be exercising delegated authority granted by your Board on December 8, 2015, to execute a Data Use Agreement to enable access to required data.

Additionally, DPH will be returning to your Board to request approval to execute a sole source contract with a third-party hospital or provider association to disseminate initial, one-time only payments to Los Angeles County birthing and NICU hospitals for costs associated with establishing Zika birth defects surveillance mechanisms, identifying contact personnel, and conducting staff training activities. The cost for the sole source contract will be fully offset by the CDC NA.

IMPACT ON CURRENT SERVICES (OR PROJECTS)
Approval of the recommended actions will allow DPH to ensure an effective and timely response to the threat of birth defects in newborns and infants due to Zika virus infection within Los Angeles County.

Respectfully submitted,

Barbara Ferrer, PhD, MPH, MEd
Director

BF:jlm
#03850

Enclosures

c: Chief Executive Officer
   County Counsel
   Executive Officer, Board of Supervisors
Los Angeles County Chief Executive Office  
Grant Management Statement for Grants Exceeding $100,000

Department: Public Health – Public Health

<table>
<thead>
<tr>
<th>Grant Project Title and Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes linked with the Zika virus-High Risk Local Areas.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Funding Agency</th>
<th>Program (Fed. Grant #/State Bill or Code #)</th>
<th>Grant Acceptance Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centers for Disease Control and Prevention (CDC)</td>
<td>Grant # 1NU50DD000046-01-00 &amp; 6NU50DD000046-01-03</td>
<td>CFDA # 93.073</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Amount of Grant Funding: $1,080,000</th>
<th>County Match Requirements: N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Period:</td>
<td>Begin Date: 09/01/16  End Date: 8/31/17</td>
</tr>
<tr>
<td>Number of Personnel Hired Under this Grant:</td>
<td>Full Time 4  Part Time 0</td>
</tr>
</tbody>
</table>

**Obligations Imposed on the County When the Grant Expires**

- Will all personnel hired for this program be informed this is a grant funded program?  Yes ☒ No ☐
- Will all personnel hired for this program be placed on temporary "N" items? Yes ☒ No ☐
- Is the County obligated to continue this program after the grant expires? Yes ☐ No ☒
- If the County is not obligated to continue this program after the grant expires, the Department will:
  a. Absorb the program cost without reducing other services Yes ☐ No ☒
  b. Identify other revenue sources Yes ☐ No ☒
     (Describe)
  c. Eliminate or reduce, as appropriate, positions/program costs funded by this grant Yes ☒ No ☐

Impact of additional personnel on existing space: None.

Other requirements not mentioned above: None

Date: 2-8-17

Department Head Signature: [Signature]
Surveillance, intervention, and referral to services activities for infants with microcephaly or other conditions associated with microcephaly

9a. GRANTEE NAME AND ADDRESS
County of Los Angeles, Department of Public Health
920 Telstar Ave
El Monte, CA 91731-2816

Mr. Craig A. Vincent-Jones
920 Telstar Ave
El Monte, CA 91731-9900
Phone: 626.569.6136

9b. GRANTEE PROJECT DIRECTOR
Mr. Craig A. Vincent-Jones
920 Telstar Ave
El Monte, CA 91731-9900
Phone: 626.569.6136

10a. GRANTEE AUTHORIZING OFFICIAL
Mr. Craig A. Vincent-Jones
920 Telstar Ave
El Monte, CA 91731-9900
Phone: 626.569.6136

10b. FEDERAL PROJECT OFFICER
William Paradies
Centers for Disease Control and Prevention
CCHP/NCBDDD/DBDDD/BDB
Atlanta, GA 30333
Phone: 404-498-3919

11. APPROVED BUDGET (Excludes Direct Assistance)

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Salaries and Wages</td>
<td>397,951.00</td>
</tr>
<tr>
<td>b. Fringe Benefits</td>
<td>226,235.00</td>
</tr>
<tr>
<td>c. Total Personnel Costs</td>
<td>624,186.00</td>
</tr>
<tr>
<td>d. Equipment</td>
<td>0.00</td>
</tr>
<tr>
<td>e. Supplies</td>
<td>41,903.00</td>
</tr>
<tr>
<td>f. Travel</td>
<td>6,000.00</td>
</tr>
<tr>
<td>g. Construction</td>
<td>0.00</td>
</tr>
<tr>
<td>h. Other</td>
<td>0.00</td>
</tr>
<tr>
<td>i. Contractual</td>
<td>0.00</td>
</tr>
<tr>
<td>j. TOTAL DIRECT COSTS</td>
<td>672,089.00</td>
</tr>
<tr>
<td>k. INDIRECT COSTS</td>
<td>47,911.00</td>
</tr>
<tr>
<td>l. TOTAL APPROVED BUDGET</td>
<td>720,000.00</td>
</tr>
</tbody>
</table>

12. AWARD COMPUTATION

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Amount of Federal Financial Assistance (from item 11m)</td>
<td>720,000.00</td>
</tr>
<tr>
<td>b. Less Unobligated Balance From Prior Budget Periods</td>
<td>0.00</td>
</tr>
<tr>
<td>c. Less Cumulative Prior Award(s) This Budget Period</td>
<td>0.00</td>
</tr>
<tr>
<td>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</td>
<td>720,000.00</td>
</tr>
</tbody>
</table>

13. Total Federal Funds Awarded to Date for Project Period | 720,000.00

14. RECOMMENDED FUTURE SUPPORT
(Subject to the availability of funds and satisfactory progress of the project):

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Direct Costs</th>
<th>Year</th>
<th>Total Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. 2</td>
<td>720,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. 3</td>
<td>720,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. 4</td>
<td>720,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. 7</td>
<td>720,000.00</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

- Deduction
- Additional Costs
- Matching
- Other Research (Add / Deduct Option)
- Other (See REMARKS)

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING 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 legislative.
b. The grant program regulations.
c. The 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) Yes

GRANTS MANAGEMENT OFFICIAL: Patricia French, Grants Management Officer
## Direct Assistance

<table>
<thead>
<tr>
<th>BUDGET CATEGORIES</th>
<th>PREVIOUS AMOUNT (A)</th>
<th>AMOUNT THIS ACTION (B)</th>
<th>TOTAL (A + B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Supplies</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Construction</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>
AWARD ATTACHMENTS

County of Los Angeles, Department of Public Health

1. Terms and Conditions
2. Summary Statement
Funding Opportunity Announcement (FOA) Number: DD16-1606
Award Number: 1 NU50DD000046-01-00
Award Type: Cooperative Agreement

45 CFR Part 75 supersedes regulations at 45 CFR Part 74 and Part 92

AWARD INFORMATION

Incorporation: The Centers for Disease Control and Prevention (CDC) hereby incorporates Funding Opportunity Announcement number DD16-1606, entitled Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes linked with the Zika virus-High Risk Local Areas, and application dated August 22, 2016, 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, Executive Orders, 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.

Note: In the event that any requirement in this Notice of Award, the Funding Opportunity Announcement, the HHS Grants Policy Statement, 45 CFR Part 75, or applicable statutes/appropriations acts conflict, then statutes and regulations take precedence.

Approved Funding: Funding in the amount of $720,000 is approved for the Year 01 budget period, which is September 1, 2016 through August 31, 2017. 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

Objective/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, October 1, 2016, will cause delay in programmatic progress and will adversely affect the future funding of this project.

1) Personnel: Please update cost for Senior Typist Clerk position

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

Funding Opportunity Announcement (FOA) Restrictions:
- Awardees may not use funds for research.
- Awardees may not use funds for clinical care except as allowed by law.
- Awardees may use funds only for reasonable program purposes, including personnel, travel,
supplies, and services.

Generally, awardees may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.

Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the awardee.

Other than for normal and recognized executive-legislative relationships, no funds may be used for:
- publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body
- 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 any legislative body

See Additional Requirement (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC awardees.

The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.

Indirect Costs: Indirect costs are approved based on the Indirect Cost Rate Agreement dated June 15, 2016, which calculates indirect costs as follows, a Provisional is approved at a rate of 31.4% of the base, which includes, direct salaries and wages including vacation, holiday, sick pay, and other paid absences but excluding all other fringe benefits. The effective dates of this indirect cost rate are from July 1, 2015 to June 30, 2017.

(Cost Limitations as Stated in the Consolidated and Further Continuing Appropriations Act, 2015 (Items A through E)

A. Cap on Salaries (Div. G, 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. G, 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. Lobbying Restrictions (Div. G, 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.


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

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

**Rent or Space Costs:** Grantees are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply, including 45 CFR Part 75, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards. 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)).

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

Fiscal Year (FY) 2016 funds will expire September 1, 2021. All FY 2016 funds should be drawn down and reported to Payment Management Services (PMS) prior to September 1, 2021. After this date, corrections or cash requests will not be permitted.

**REPORTING REQUIREMENTS**

**Annual Federal Financial Report (FFR, SF-425):** The Annual Federal Financial Report (FFR) SF-425 is required and must be submitted to your GMO/GMS no later than 90 days after the end of budget period.
The FFR for this budget period is due by November 29, 2017. Reporting timeframe is September 1, 2016 through August 31, 2017.

The FFR may be downloaded from the following website below and submitted to the GMS via email. https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System’s (PMS) cash transaction data. All Federal reporting in PMS is unchanged.

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

**Performance Reporting:** The Annual Performance Report is due no later than 120 days prior to the end of the budget period, May 3, 2017, and serves as the continuing application. This report should include the information specified in the FOA.

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

The audit report must be sent to:

*Federal Audit Clearing House Internet Data Entry System*

**Electronic Submission:**
https://harvester.census.gov/facides/(S(0vkw1zaelyzjibnahocga5i0))/account/login.aspx

AND

*Office of Grants Services, Financial Assessment and Audit Resolution Unit*

**Electronic Copy to:** PGO.Audit.Resolution@cdc.gov

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

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

**Federal Funding Accountability and Transparency Act (FFATA):**

In accordance with 2 CFR Chapter 1, Part 170 Reporting Sub-Award And Executive Compensation Information, Prime Awardees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime awardee awards any sub-grant equal to or greater than $25,000.
Pursuant to 45 CFR Part 75, §75.502, a grant sub-award includes the provision of any commodities (food and non-food) to the sub-recipient where the sub-recipient is required to abide by terms and conditions regarding the use or future administration of those goods. If the sub-awardee merely consumes or utilizes the goods, the commodities are not in and of themselves considered sub-awards.

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


**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 [www.fsrs.gov](http://www.fsrs.gov). For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010). You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.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/execomp.htm?explorer.event=true](http://www.sec.gov/answers/execomp.htm?explorer.event=true)).

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

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

- In the sub-recipient’s preceding fiscal year, the sub-recipient received—
  - 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR Part 170.320 (and sub-awards); and
  - $25,000,000 or more in annual gross revenues from Federal procurement contracts
(and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and

- The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. Part 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm).

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

Definitions:

- **Entity** means all of the following, as defined in 2 CFR Part 25 (Appendix A, Paragraph(C)(3)):
  - Governmental organization, which is a State, local government, or Indian tribe;
  - Foreign public entity;
  - Domestic or foreign non-profit organization;
  - Domestic or foreign for-profit organization;
  - Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.

- **Executive** means officers, managing partners, or any other employees in management positions.

- **Sub-award:** a legal instrument to provide support to an eligible sub-recipient for the performance of any portion of the substantive project or program for which the grantee received this award. The term does not include the grantees procurement of property and services needed to carry out the project or program (for further explanation, see 45 CFR Part 75). A sub-award may be provided through any legal agreement, including an agreement that the grantee or a sub-recipient considers a contract.

- **Sub-recipient** means an entity that receives a sub-award from you (the grantee) under this award; and is accountable to the grantee for the use of the Federal funds provided by the sub-award.

- **Total compensation** means the cash and non-cash dollar value earned by the executive during the grantees or sub-recipient’s preceding fiscal year and includes the following (for more information see 17 CFR Part 229.402(c)(2)):
  - Salary and bonus
  - Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - Above-market earnings on deferred compensation which is not tax-qualified.
  - Other compensation, if the aggregate value of all such other compensation (e.g.
severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

**GENERAL REQUIREMENTS**

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

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

**Prior Approval:** All requests, which require prior approval, must bear the signature of the authorized organization representative. The grantee must submit these requests by May 3, 2017 or no later than 120 days prior to the end date. 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 approved budget
- Apply for supplemental funds
- Change in key personnel
- Extensions
- Conferences or meetings that were not specified in the approved budget

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/grants/alreadyhavegrant/priorapprovalrequests.html](http://www.cdc.gov/grants/alreadyhavegrant/priorapprovalrequests.html)

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

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

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

This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, 1 NU50DD000046-01-00, 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. Further, the HHS and CDC logo cannot be used by the grantee without a license agreement setting forth the terms and conditions of use.

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

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

Federal Information Security Management Act (FISMA): All information systems, electronic or hard copy, that contain federal data must be protected from unauthorized access. This standard also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

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


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.
(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, Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: PMSSupport@psc.gov  

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

- International Payment Branch:  
  Bhavin Patel (301) 492-4918  
  Email: Bhavin.patel@psc.hhs.gov

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.

For additional information and/or to obtain your agency point of contact at the PMS, see, [http://www.dpm.psc.gov/contacts/dpm_contact_list/dpm_contact_list.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/dpm_contact_list.aspx?explorer.event=true)

**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.

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

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

Grant Document Number: 16DD000046
Subaccount Title: DD16-1606COOPAGRFY16

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 September 1, 2016 through August 231, 2021. 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 to the GMO/GMS 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 45 CFR Part 75.381 (Closeout), the grantee must submit a letter requesting an extension that includes the justification for the delay and state the expected date the CDC Office of Grants Services 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 45 CFR Part 75. 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://grants1.nih.gov/grants/hhs568.pdf](http://grants1.nih.gov/grants/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.

---

**EXHIBIT I**

---

**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:**
Patricia French, Grants Management Officer
Centers for Disease Control
National Center on Birth Defects and Developmental Disabilities (NCBDDD)
2920 Brandywine Rd.
Atlanta, GA 30341
Telephone: 770-488-2849
Email: pff6@cdc.gov

**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:**
Natasha Grant, Grants Management Specialist
Centers for Disease Control
National Center on Birth Defects and Developmental Disabilities (NCBDDD)
2920 Brandywine Rd.
Atlanta, GA 30341
Telephone: 770-488-1649
Email: ngrant@cdc.gov

**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:**
William Paradies, Project Officer
Centers for Disease Control
National Center on Birth Defects and Developmental Disabilities (NCBDDD)
4770 Buford Highway, NE Mailstop E-86
Atlanta, GA 30341
Telephone: 404-498-3919
Email: wep2@cdc.gov
TECHNICAL REVIEW/SUMMARY STATEMENT
FOA #CDC-RFA-DD16-1606

Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes linked with the Zika virus-High Risk Local Areas

APPLICANT: Los Angeles County Department of Public Health
APPLICATION NO.: NU50DD2016000142
APPLICATION DATED: 8/22/2016
RECOMMENDATION: Approved
YR 1 FUNDING REQUESTED: $720,000
SCORE: 93

Rachel Schwarz / Cara Mai 08/24/2016
Technical Reviewer

SUMMARY OF PROJECT:
The Los Angeles County Department of Public Health (LAC DPH) is the largest county health department and one of the largest health jurisdictions in the United States. Within LAC, there are an estimated 2,043,722 women of reproductive age (15-44 years) and more than 130,000 births annually.

The Los Angeles County Zika-related Birth Defects Monitoring Registry (LAC zBDMR) represents the collective efforts of key public health responders in the emerging Zika virus threat—which is expected to accelerate considerably at the onset of mosquito season, following El Niño, and given the travel patterns of many LAC residents. Along with other collaborators, LAC zBDMR will expedite surveillance of Zika in women of reproductive ages and their children, will enable an effective public health response to Zika symptomology and consequences in newborns, infants and children, and will enhance community, professional and clinical understanding of the deleterious perinatal effects of Zika.

OBJECTIVES:
Surveillance
Short-Term:
• Improved detection and ascertainment of potential Zika risk to newborns/fetuses, in particular, and in the general population
• Improved monitoring to more effectively ascertain ZBDs (Zika-related birth defects)
• Improved and more complete case finding efforts linking certain birth defects to possible Zika exposure
Mid-Term:
• Improved educational support to prevent ZBDs
• Improved data-sharing leading to greater public health understanding of Zika impact
• Enhanced public health practices for more efficient identification/ascertainment of ZBDs
Improved documentation and evaluation of health outcomes for infants with positive or inconclusive Zika test results

Capacity Building
Short-Term:
- Stronger professional/provider engagement improves access and surveillance
- Expanded media presence improves understanding and yields more knowledgeable/aware community response
- Improved early intervention will identify infant’s early medical needs in advance and better prepare the family for adverse pregnancy outcomes
- Greater rapid ascertainment of ZBDs or Zika-related complications and resulting early intervention

Mid-Term:
- Enhanced communication/collaboration to sustain public health response to Zika/ZBDs

Long-Term:
- Improved viral screening/diagnostics to yield healthier deliveries and reduce pregnancy complications

Referral to Services
Mid-Term:
- Family Resource Centers (FRCs) and Regional Centers will assist families access care for children with special needs and help children/adults with developmental disabilities caused by Zika infection
- Children enrolled in HRIF or look-alike CCS diagnostic services receive medical, visual, auditory and develop-mental diagnostic services for three years

Long-Term:
- Children w/ Zika-related birth defects are eligible for CCS coverage, which leads to improved health/quality of life
- Improved health outcomes resulting from consistent access/adherence to care

Data Reporting
Short-Term:
- Improved speed with which ZBDs are ascertained (probable/confirmed)

Mid-Term:
- Improved data accessibility, applicability and reliability
- Better data-sharing/communication results in faster ascertainment of ZBD and referral into care/services
- Increased knowledge by public health professionals about pregnancy outcomes/ZBDs
- Improved compatibility of ZBD data/information across systems to increase Zika-knowledge and understanding
- Increased use and applicability of collected ZBD data for improved population health
- Improved data collection capacity/reliability for monitoring, follow-up, case investigation, referral and evaluation purposes
METHODS:

Surveillance
- Compile provider and laboratory reports of suspected Zika infection or confirmed Zika infection test results in women of reproductive age and their fetuses or newborns/infants, if applicable.
- Using the NBDPN case definition and the six-digit codes presented in the RFA description, or as later modified by the CDC, actively search for and identify possible cases of Zika-related Birth Defects (ZBDs) in LA County patient records.

Capacity Building
- Strengthen local knowledge and ability to recognize, ascertain and report possible Zika infection in women and ZBDs in newborns and infants.

Referral to Services
- Provide health education to women of reproductive age who are possibly Zika-infected and help them access health services.
- Enable access to diagnostic services for newborns/infants with possible ZBDs and enroll them in health and social services once ZBDs are confirmed.

Data Reporting
- Develop a centralized data warehouse and repository that exchanges real-time data for ZBD surveillance and analysis activities.
- Support and monitor data collection, clinical case analysis, birth defects epidemiology.
- Assess and evaluate data collection and analysis activities regularly to ensure effective data collection strategies and ongoing data reliability and usefulness.
- Participate in joint and collaborative surveillance and public and public health studies and research.

Health and Developmental Outcomes
- Collect, monitor and improve health outcomes of pre- and post-partum women and their newborns and infants with ZBDs.

1. Evaluation Criteria: Approach (50 points)

STRENGTHS:
- The applicant plans to include an “active” case-finding approach by following up on data from Prenatal Diagnosis Centers on women w/ microcephalic fetuses or other ZBDs in utero, by following up on reports from CA Reportable Disease Information Exchange (CalREDIE) on pregnant women/infants with positive/inconclusive test results, and by employing electronic access and import diagnostic indices to rapidly and remotely identify possible ZBDs.
- The applicant will ascertain cases of Zika-related Birth Defects (ZBDs), such as microcephaly, hydrocephaly, arthrogryposis, other CNS anomalies in live newborn,
stillborn, in terminated pregnancies at LA County birthing hospitals through various methods which incorporate the use of administrative datasets.

- The applicant mentions using the NBDPN case definition and the six-digit codes presented in the RFA description, or as later modified by the CDC, to actively search for and identify possible cases of Zika-related Birth Defects (ZBDs) in LA County patient records.
- The applicant will collaborate/coordinate with US Zika Pregnancy Registry by forwarding case reporting.
- Application outlines that Epidemiologist PHN (CMS) and CMS Medical Nurse Case Mgrs (NCM) will provide clinical review of cases.
- The applicant is partnering with Acute Communicable Disease Control (ACDC), Maternal, Child, and Adolescent Health (MCAH) and Emergency Preparedness and Reponses Programs (EPRP), and California Department of Public Health’s Birth Defects Monitoring Program (BDMP).
- The applicant outlines strategies and activities for children with microcephaly and select CNS defects and their families to connect with health, early intervention, and social services in the community, including providing Nurse Case Management (NCM) services to child and family to coordinate early intervention, health care and social services, as appropriate.
- The applicant plans to securely export ZBD variables for use in centralized, pooled clinical case and surveillance projects and conform LAC zBDMR capability to export data to CBDMP, vCMR, US Zika Pregnancy and other registries, CMS Net, CaMP and other applicable databases.

WEAKNESSES/RECOMMENDATIONS:

- Because this is a public health emergency response, is critically important that the applicant emphasize the rapid and timely ascertainment of cases of microcephaly, other CNS malformations, and other birth defects of interest potentially associated with Zika virus infection in pregnancy. Approaches that will enable the applicant to most rapidly identify potential cases are those that the applicant should implement.
- The application does not mention the need for confidentiality of the data collected.
- Applicant should consider including table of CNS defect codes for Zika-related ascertainment. (See pg. 4 of the published FOA)

Recommended Score for #1 - Approach: 49

<table>
<thead>
<tr>
<th>Poor</th>
<th>Fair</th>
<th>Good</th>
<th>Very Good</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-24</td>
<td>25-34</td>
<td>35-39</td>
<td>40-44</td>
<td>45-50</td>
</tr>
</tbody>
</table>

STRENGTHS:
- Application includes a work plan that is aligned with the strategies/activities and outcomes with the content and format proposed by CDC.
- Most performance measures are objective, quantitative, and measurable.

WEAKNESSES/RECOMMENDATIONS:
- The applicant should include a more specific timeframe for when activities/projects are to be completed.
- Applicant does not include a logic model. (See page 5 of the published FOA)
- Work plan should include the hiring of new personnel.

Recommended Score for #2 – Evaluation and Performance Measurement: **22**

<table>
<thead>
<tr>
<th>Poor</th>
<th>Fair</th>
<th>Good</th>
<th>Very Good</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-11</td>
<td>12-16</td>
<td>17-19</td>
<td>20-22</td>
<td>23-25</td>
</tr>
</tbody>
</table>

3. Evaluation Criteria: Applicant’s Organizational Capacity to Implement the Approach (25 points)

STRENGTHS:
- Given its role and experience with children’s health care, the applicant is well positioned to host and implement a comprehensive birth surveillance system and has the capacity for the follow-up, monitoring, intervention and referrals needed to respond to the emerging threat of the Zika virus and its consequent birth defects impact.
- The applicant mentions hiring a Zika Team epidemiologist and public health nurse to improve birth defects surveillance and achieve the project outcomes.
- The applicant provides a staffing plan of current and potential personnel.
- Application includes a management structure and organizational charts for collaborating agencies.

WEAKNESSES/RECOMMENDATIONS:
- Detailed CVs are not provided for all current staff.
- The applicant does not include a timeline for identifying and hiring new personnel. (See comment above)
Recommended Score for #3 - Applicant’s Organizational Capacity to Implement the Approach: __22__

<table>
<thead>
<tr>
<th>Poor</th>
<th>Fair</th>
<th>Good</th>
<th>Very Good</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-11</td>
<td>12-16</td>
<td>17-19</td>
<td>20-22</td>
<td>23-25</td>
</tr>
</tbody>
</table>

4. Evaluation Criteria: Budget Justification and Adequacy of Facilities (not scored)
The budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the intended use of the cooperative agreement funds. The applicant shall describe and indicate the availability of facilities and equipment necessary to carry out this project. Award recipients agree to use cooperative agreement funds for travel by project staff agreed-upon by CDC to participate in CDC-sponsored workshops or other called meetings.

COMMENTS:

- We verified the accuracy, allowability, and reasonableness of the proposed cost.

- Personnel, Fringe Benefits: Applicant provided in-kind support. By obtaining other sources of funding, it is encouraging that the applicant demonstrates their commitment to the goals and objectives of the FOA.

- Personnel and Fringe Benefits: Applicant has vacant Epidemiologist and Public Health Nurse positions proposed at 100% for 12 months. For the other vacant positions, the applicant proposed less percentage of effort. If the 2 100% proposed vacant positions are not anticipated to be filled by the 9/1/2016 start date, the applicant should submit a revised budget reflecting the anticipated start date after award.

- Personnel – Senior Clerk Typist: We computed a lower cost than proposed. The applicant will need to verify the calculations and level of effort.
**TITLE OF PROJECT (OR PROGRAM)**

Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes.

---

### 11. APPROVED BUDGET (Excludes Direct Assistance)

- **Financial Assistance from the Federal Awarding Agency Only**
  - a. Salaries and Wages: $397,951.00
  - b. Fringe Benefits: $226,235.00
  - c. Total Personnel Costs: $624,186.00
  - d. Equipment: $0.00
  - e. Supplies: $41,903.00
  - f. Travel: $6,000.00
  - g. Construction: $0.00
  - h. Other: $0.00
  - i. Contractual: $0.00
  - j. TOTAL DIRECT COSTS: $672,089.00

### 12. AWARD COMPUTATION

- **Total project costs including grant funds and all other financial participation**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Amount of Federal Financial Assistance (from item 11a)</td>
<td>$720,000.00</td>
</tr>
<tr>
<td>b. Less Unobligated Balance From Prior Budget Periods</td>
<td>$0.00</td>
</tr>
<tr>
<td>c. Less Cumulative Prior Award(s) This Budget Period</td>
<td>$720,000.00</td>
</tr>
<tr>
<td>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### 13. Total Federal Funds Awarded to Date for Project Period

- $720,000.00

---

### 14. RECOMMENDED FUTURE SUPPORT

(Subject to the availability of funds and satisfactory progress of the project):

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Direct Costs</th>
<th>Year</th>
<th>Total Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td></td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td>7</td>
<td></td>
</tr>
</tbody>
</table>

---

### 15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

- a. **DEDUCTION**
- b. ADDITIONAL COSTS
- c. MATCHING
- d. OTHER RESEARCH (Add / Deduct Option)
- e. OTHER (See REMARKS)

---

### 16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING 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.

---

### 17. OBJ CLASS

- 41.51

### 18a. VENDOR CODE

- 1956000927A1

### 18b. EIN

- 956000927

### 19. DUNS

- 624882309

### 20. CONG. DIST.

- 32

---

**EXHIBIT II**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Centers for Disease Control and Prevention**

**CDC Office of Financial Resources**

2920 Brandywine Road
Atlanta, GA 30341

**NOTICE OF AWARD**

**AUTHORIZATION (Legislation/Regulations)**

301(A)(311,317)(C)PHSACTi42USC241,243,247B

---

**GRANTS MANAGEMENT OFFICIAL:**

Patricia French, Grants Management Officer
### Direct Assistance

<table>
<thead>
<tr>
<th>BUDGET CATEGORIES</th>
<th>PREVIOUS AMOUNT (A)</th>
<th>AMOUNT THIS ACTION (B)</th>
<th>TOTAL (A + B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Supplies</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractual</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Construction</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>
1. Terms and Conditions
ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD

ADMINISTRATIVE CORRECTION: The purpose of this revised Notice of Award (NOA) is to amend the NOA dated 8/30/2016.

- The Authorization (Legislation/Regulations) Award Authority citation on page 1 of the NOA is incorrect. The correct Statutory Authorities for this grant under FOA DD16-1606 are: Sections 311 and 317C of the Public Health Service Act [42 U.S.C. 243 and 247b-4].

- The Project Title on page 1 of the NOA is incorrect. The correct project title for this grant under FOA DD16-1606 is: Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes linked with the Zika virus-High Risk Local Areas.

- The correct project period start and end dates are September 1, 2016 and August 31, 2021.

- The correct budget period start and end dates are September 1, 2016 and August 31, 2017.

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

All other terms and conditions issued with the original Notice of Award remain in effect throughout the budget period unless changed in writing by the CDC Grants Management Officer.

PLEASE REFERENCE THE GRANT NUMBER ON ALL CORRESPONDENCE.

Natasha Grant
Grants Management Specialist (GMS)
Office of Grants Services (OGS)
Office of Financial Resources (OFR)
Office of the Chief Operating Officer (OCOO)
Centers for Disease Control and Prevention (CDC)
Ngrant@cdc.gov | 770-488-1649

Patricia French
Grants Management Officer (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)
Pff6@cdc.gov | 770-488-2849
**DEPARTMENT OF HEALTH AND HUMAN SERVICES**
Centers for Disease Control and Prevention

CDC Office of Financial Resources
2920 Brandywine Road
Atlanta, GA 30341

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)
301(A)311,317(C)/PHSACT42USC241,243,247B

---

### 1. Date Issued

<table>
<thead>
<tr>
<th>Date</th>
<th>CFDA No.</th>
<th>Assistance Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/23/2016</td>
<td>93.073</td>
<td>Cooperative Agreement</td>
</tr>
</tbody>
</table>

### 1a. Supercedes Award Notice

Date: 09/08/2016
Except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.

### 4. Grant No.

<table>
<thead>
<tr>
<th>Formerly</th>
<th>Award Notice Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 NU50DD000046-01-02</td>
<td></td>
</tr>
</tbody>
</table>

### 5. Action Type

Post Award Amendment

### 6. Project Period

<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/01/2016</td>
<td>08/31/2021</td>
</tr>
</tbody>
</table>

### 7. Budget Period

<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/01/2016</td>
<td>08/31/2017</td>
</tr>
</tbody>
</table>

### 8. Title of Project (or Program)

Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse

---

**County of Los Angeles, Department of Public Health**

9320 Telstar Ave
El Monte, CA 91731-2816

---

### 11. Approved Budget

(Excludes Direct Assistance)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Direct Costs</td>
<td>674,945.00</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>45,055.00</td>
</tr>
<tr>
<td>Federal Share</td>
<td>720,000.00</td>
</tr>
<tr>
<td>Non-Federal Share</td>
<td>0.00</td>
</tr>
</tbody>
</table>

**TOTAL APPROVED BUDGET**: 720,000.00

---

**12. Award Computation**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total awarded monies from Federal Awarding Agency Only</td>
<td>720,000.00</td>
</tr>
<tr>
<td>Less Unobligated Balance From Prior Budget Period</td>
<td>0.00</td>
</tr>
<tr>
<td>Less Cumulative Prior Award(s) This Budget Period</td>
<td>0.00</td>
</tr>
<tr>
<td>AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</td>
<td>0.00</td>
</tr>
</tbody>
</table>

**AMOUNT OF FINANCIAL ASSISTANCE** 720,000.00

---

### 13. Total Federal Funds Awarded to Date for Project Period

720,000.00

---

### 14. Recommended Future Support

(Subject to the availability of funds and satisfactory progress of the project):

<table>
<thead>
<tr>
<th>Year</th>
<th>Direct Costs</th>
<th>Total Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

**15. Program income shall be used in accord with one of the following alternatives:**

<table>
<thead>
<tr>
<th>Alternative</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. DEDUCTION</td>
<td></td>
</tr>
<tr>
<td>b. ADDITIONAL COSTS</td>
<td></td>
</tr>
<tr>
<td>c. MATCHING</td>
<td></td>
</tr>
<tr>
<td>d. OTHER RESEARCH (Add / Deduct Option)</td>
<td></td>
</tr>
<tr>
<td>e. OTHER (See REMARKS)</td>
<td></td>
</tr>
</tbody>
</table>

---

**16. This award is based on an application submitted to, and as approved by, the Federal Awarding 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 the 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 - **X** Yes **No**)

---

**Grants Management Officer**

Patricia French, Grants Management Officer

---

### 17. Obj Class

41.51

### 18a. Vendor Code

1956000927A1

### 18b. EIN

956000927

### 19. DUNS

624882309

### 20. Cong. Dist.

32
## Direct Assistance

<table>
<thead>
<tr>
<th>BUDGET CATEGORIES</th>
<th>PREVIOUS AMOUNT (A)</th>
<th>AMOUNT THIS ACTION (B)</th>
<th>TOTAL (A + B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Supplies</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractual</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Construction</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$0.00</strong></td>
<td><strong>$0.00</strong></td>
<td><strong>$0.00</strong></td>
</tr>
</tbody>
</table>
1. Terms and Conditions
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: DD16-1606
GRANT # NU50DD000046
Revision 2

ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD

The purpose of this revised Notice of Award (NOA) is to respond to your email dated November 1, 2016. Your request has been approved as follows:

1) REVISED BUDGET:
   - Salaries and Wages have decreased from $397,951 to $388,363
   - Fringe has decreased from $226,235 to $219,779
   - Supplies have increased from $41,903 to $57,803
   - Travel has increased from $6,000 to $9,000
   - Indirect costs have decreased from $47,911 to $45,055

2) SUMMARY STATEMENT: This also serves as a response to your document submitted November 1, 2016, which provided responses to the Summary Statement /Technical Review. This request has been reviewed and approved.

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

All other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

PLEASE REFERENCE YOUR AWARD NUMBER ON ALL CORRESPONDENCE.

Natasha Grant
Grants Management Specialist (GMS)
Office of Grants Services (OGS)
Office of Financial Resources (OFR)
Office of the Chief Operating Officer (OCOO)
Centers for Disease Control and Prevention (CDC)
ngrant@cdc.gov | 770-488-1649

Patricia French
Grants Management Officer (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)
Pff6@cdc.gov | 770-488-2849
Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse health outcomes.
### Direct Assistance

<table>
<thead>
<tr>
<th>BUDGET CATEGORIES</th>
<th>PREVIOUS AMOUNT (A)</th>
<th>AMOUNT THIS ACTION (B)</th>
<th>TOTAL (A + B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Supplies</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractual</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Construction</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>
AWARD ATTACHMENTS

County of Los Angeles, Department of Public Health

1. Terms and Conditions
2. Technical Review

6 NU50DD000046-01-03
ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD

SUPPLEMENT: The purpose of this revised Notice of Award (NOA) is to authorize supplemental funds in the amount of $360,000 for an 8-month period 12/30/2016 – 08/31/2017. This action is taken in accordance with the grantee’s request dated 11/12/2016.

The budget is approved as follows:

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Current Award</th>
<th>Supplement</th>
<th>Revised Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Wages</td>
<td>$388,363.00</td>
<td>$24,042.00</td>
<td>$412,405.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$219,779.00</td>
<td>$13,365.00</td>
<td>$233,144.00</td>
</tr>
<tr>
<td>Consultants</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
</tr>
<tr>
<td>Equipment</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
</tr>
<tr>
<td>Supplies</td>
<td>$57,803.00</td>
<td>$2,093.00</td>
<td>$59,896.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$9,000.00</td>
<td>$2,000.00</td>
<td>$11,000.00</td>
</tr>
<tr>
<td>Other</td>
<td>$-</td>
<td>$2,500.00</td>
<td>$2,500.00</td>
</tr>
<tr>
<td>Contractual</td>
<td>$-</td>
<td>$316,000.00</td>
<td>$316,000.00</td>
</tr>
<tr>
<td><strong>Total Direct Costs</strong></td>
<td><strong>$674,945.00</strong></td>
<td><strong>$360,000.00</strong></td>
<td><strong>$1,034,945.00</strong></td>
</tr>
<tr>
<td>Indirect costs</td>
<td>$45,055.00</td>
<td>$-</td>
<td>$45,055.00</td>
</tr>
<tr>
<td><strong>Total Award</strong></td>
<td><strong>$720,000.00</strong></td>
<td><strong>$360,000.00</strong></td>
<td><strong>$1,080,000.00</strong></td>
</tr>
</tbody>
</table>

These funds are approved for the current budget period with no commitment for continued support in future budget periods.


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, January 30, 2017, will cause delay in programmatic progress and will adversely affect the future funding of this project.

BUDGET REVISION REQUIREMENT: By January 30, 2017, the grantee must submit a revised budget with a narrative justification and revised work plan to the GMS via email:

1) Travel: Provide detailed budget and justification for travel costs for anticipated meetings and/or conferences per the Budget Preparation Guidelines
2) Contractual: Provide the following six (6) elements for each Contractor: 1) Name of Contractor, 2) Method of Selection, 3) Period of Performance, 4) Scope of Work, 5) Method of Accountability, 6) Itemized Budget Justification
3) Other: Provide detailed budget and justification for material printing/publication costs per the Budget Preparation Guidelines
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.

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

All other terms and conditions issued with the original Notice of Award remain in effect throughout the budget period unless changed, in writing, by the CDC Grants Management Officer.

PLEASE REFERENCE THE GRANT NUMBER ON ALL CORRESPONDENCE.

**Natasha Grant**  
Grants Management Specialist  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
ngrant@cdc.gov  email | 770-488-1649 office

**Patricia French**  
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)  
pff6@cdc.gov  email | 770-488-2849 office
Surveillance, intervention, and referral to services activities for infants with microcephaly or other adverse outcomes linked with the Zika virus-High Risk Local Areas

APPLICANT: Los Angeles County Zika-related Birth Defects Monitoring Registry
APPLICATION NUMBER: NU50DD2016000142
APPLICATION DATED: 11/14/2016
RECOMMENDATION: Approved
SUPPLEMENTAL FUNDING REQUESTED: $ 360,000
TECHNICAL REVIEWER: Tanya Williams / Roshan Ramlal
DATE: 11/18/2016

SUMMARY OF PROJECT:

The $360,000 in supplemental funding requested for LA County’s Zika-related Birth Defects Monitoring Registry (zBDMR) will enhance the project’s initial efforts to:

1) advance clinical decision-making necessary to establish protocols and practices for providers, hospitals and public health staff;
2) support efforts of the California Birth Defects Monitoring Program (BDMP) as it assumes primary responsibility for Zika-related Birth Defects (ZBD) case finding and investigation, case and record review, and chart review and abstraction in LA County birthing hospitals—laying the groundwork for a longer-term birth defects surveillance effort in LA County;
3) reimburse and incentivize LA County’s birthing hospitals to designate specific staff who will be responsible for identifying, reporting and monitoring newborns and infants with possible ZBDs in their facilities; and
4) enhance anticipated additional grant-/project-related expenses.

EVALUATION:

1) APPROACH & WORKPLAN

Strengths:
- The applicant plans to adapt ACDC’s Infection Control Practitioner (ICP) model of assigning responsibility for identifying, reporting and monitoring ZBDs to designated staff at hospitals.
- The applicant mentions using funds to cover the cost of each birthing hospital in LA County to assist with identifying staff in order to delegate ZBD surveillance and their training.
- The applicant plans to collaborate with a third-party clinical partner to assist hospitals with identifying personnel designated for ZBD surveillance.
- The applicant will collaborate/coordinate with US Zika Pregnancy Registry by forwarding case reporting.
- The applicant has identified a dedicated on-staff physician to help staff navigated complicated
clinical decision-making.

Weaknesses/Recommendation:
- The role of the medical consultant in the “referral to services” activities is partially defined in the project narrative, but not clearly stated in the workplan. In continuation of helping initially oversee diagnostic services in CCS and HRIF, the medical consultant should collaborate with Nurse Case Managers to facilitate, support and ensure timely and appropriate referrals to clinical support services in complicated ZBDs or possibly perinatal Zika-exposed cases.

2) EVALUATION AND PERFORMANCE MEASUREMENT

Strengths:
- Most performance measures are objective, quantitative, and measurable.
- Application includes a work plan that is aligned with the strategies/activities and outcomes with the content and format proposed by CDC.
- The applicant included timeframes for when activities/projects are to be completed.
- The credentials and experience of candidate selected for the medical consultant appears to be very strong.

Weaknesses/Recommendation:
- The medical consultant’s activities in the “referral to services” and “data analyses and reporting” are not clearly state in the Work Plan.
- The period of performance of the medical consultant is not clearly articulated.

BUDGET JUSTIFICATION AND ADEQUACY OF FACILITIES (NOT SCORED)

The budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the intended use of the cooperative agreement funds. The applicant shall describe and indicate the availability of facilities and equipment necessary to carry out this project. Award recipients agree to use cooperative agreement funds for travel by project staff agreed-upon by CDC to participate in CDC-sponsored workshops or other called meetings.

COMMENTS:
- We verified the arithmetic accuracy, allowability, and reasonableness of the budget justification. However, application will need to submit a revised budget addressing the Budget Review Comments.
- Travel - $2,000: Applicant did not breakout cost for travel and the anticipated meetings and/or conferences. Applicant must breakout this cost in keeping with OGS Guidance for Budget preparation.
- Contractual - $316,000: The grantee should provide all of the following Contractual elements:
1) Name of Contract; 2) Method of Selection; 3) Period of Performance; 4) Scope of Work; 5) Method of Accountability, and 6) Itemized Budget and Justification.

- Material Printing/Publication - $2,500: The applicant did not provide detailed budget calculations and break out of cost for material printing/publication as required in OGS Guidance for Budget Preparation.