



OFFICE OF  
PREPAREDNESS  
AND EMERGENCY  
MANAGEMENT

# GRANTS MANAGEMENT MANUAL

**TP19-1901-05**

**Budget Period 5**

**July 1, 2023 to June 30, 2024**

**Issued By:**

**Massachusetts Department of Public Health**

**Office of Preparedness and Emergency Management**

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## Section 1: Introduction and General Information

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The purpose of the Public Health Emergency Preparedness (PHEP) Cooperative Agreement CDC-RFA-TP19-1901 and Hospital Preparedness Program (HPP) Cooperative Agreement EP-U3R-19-001 are to provide technical assistance and resources that support state, local, territorial, and tribal public health departments and healthcare systems/organizations in demonstrating measurable, sustainable progress toward achieving public health and healthcare preparedness capabilities that promote prepared and resilient communities. These five-year Centers for Disease Control and Prevention (CDC) and Administration for Strategic Preparedness and Response (ASPR) Cooperative Agreements (2019-2024) are referred to as TP19-1901, with the addition of -05 as we enter Budget Period 5 (BP5).

To support these goals, the Massachusetts Department of Public Health Office of Preparedness and Emergency Management (MDPH OPEM) awards contracts to Health and Medical Coordinating Coalition (HMCC) Sponsoring Organizations for HPP and PHEP program implementation activities focused on development and operational readiness across the 2018 Public Health Emergency Preparedness and Response Capabilities issued by the CDC and the 2017-2022 Health Care Preparedness and Response Capabilities issued by the ASPR in 2016. The sponsoring organization serves as the fiscal agent for the region, which includes supporting the entities within the region with procurement of equipment, supplies, services, and support as it relates to the MDPH approved budgets for PHEP, HPP, HMCC, and MRC. The sponsoring organization supports regional entities as they operate within their own governance for organization and decision making. Sponsoring Organizations are expected to work with stakeholders to use these state and federal funds to build and sustain the capabilities, ensuring that the preparedness funds are directed to priority areas within their jurisdictions. Sponsoring Organizations must demonstrate measurable and sustainable progress toward achieving all the preparedness capabilities over the five-year project period.

Cross-cutting HPP and PHEP activities should be managed, coordinated, and integrated where applicable. To further advance public health and healthcare preparedness, Sponsoring Organizations should consider organizing their programs to align and integrate with jurisdictional preparedness planning priorities. Establishing such an organizational structure will help assure public health and healthcare preparedness program components are integrated and associated requirements are achieved, helping to assure more effective coordination, administration, and oversight of strategic and tactical program implementation activities. Grant alignment efforts are intended to maintain the uniqueness of each program, while ensuring both programs are jointly planning, exercising, and implementing program operations in a more coordinated fashion.

The PHEP and HPP awards received by the Department are based on the applications submitted to and approved by CDC and ASPR and subrecipients are subject to the terms and conditions incorporated either directly or by reference in the following:

1. [Pandemic and All-Hazards Preparedness and Advancing Innovation \(PAHPAI\) Act of 2019, Public Law No. 116-22.](#)
2. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.

3. All terms and conditions in the Notices of Grant Award (to be attached in the final document).
4. All entities: 2 CFR 200.69 (A-133); state, local and tribal governments: 45 CFR 92 (A-102), 2 CFR 225 (A-87); educational institutions: 45 CFR 74 (A-110), 2CFR 220 (A-21); hospitals or other non-profit organizations: 45 CFR 74 (A-110), 2 CFR 230 (A-122).
5. The US Department of Health and Human Services (HHS) Grant Policy Statement, including all appendices in effect at the start of the grant period (Publication Date: January 1, 2007).
6. All Commonwealth of Massachusetts laws, rules, regulations, and guidelines applicable to grant funding and procurement.
7. All policies and procedures that the Sponsoring Organization has set up to comply with State and Federal rules and regulations.

## **Section 2: MDPH OPEM Contract Administration**

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In its role as the recipient and designated administering agency for federal PHEP and HPP dollars and state MRC funding, MDPH OPEM has a responsibility for providing sufficient oversight to ensure that funds are used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that required performance goals are achieved.

**Contract Conditions.** All entities receiving funding, either through a direct award or subcontract are required to abide by their contract terms, the [Commonwealth Terms and Conditions](#) and the provisions set forth in this manual.

**Standard Contract Form.** A Standard Contract Form must be signed by the person who has the authority to bind the Sponsoring Organization into a contract with the Commonwealth.

**Signatory Authorization Form.** Sponsoring Organizations must provide a listing of individuals on the Contractor Authorized Signatory Listing (Appendix A) who are authorized as legal representatives of the organization who can sign contracts and other legally binding documents related to the contract on the organization's behalf. This person is normally designated formally by the organization's governing body, charter, or Articles of Organization. This form should be re-filed whenever the authorized signatory changes.

**Contract start date.** The effective start date shall be the date indicated on the Standard Contract Form. The fiscal year is July 1<sup>st</sup> through June 30<sup>th</sup>.

**Internal control.** An Internal Control plan is required of all contracted parties receiving federal funding under the OMB Uniform Guidance (formerly OMB Circular A-133 requirements). An internal control plan encompasses the highest-level goals and risks of the grantee. This high level guide must be supported by lower level detail, specifically grantee policies and procedures. The internal control plan shall demonstrate a willingness to maintain written procedures that minimize

the time elapsing between the receipt of funds and the disbursement of funds. Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets. The Sponsoring Organization must adequately safeguard all such property and must assure that it is used solely for authorized purposes.

**Payment process.** Payments are conditional on receipt of federal funding and will be made directly to each Sponsoring Organization via an electronic funds transfer. MDPH OPEM will make every effort to notify programs of upcoming payments, but Sponsoring Organizations can also check upcoming payments and payment history at <https://massfinance.state.ma.us/VendorWeb/>

To ensure compliance with federal requirements, payments will be disbursed in four allotments. Payments will each be one quarter of the BP5 approved budget. MDPH will use the following dates as a guideline to process payments. Funds will be available in accordance with the processes of both the sponsoring organization and the financial institutions utilized.

1 <sup>st</sup> Payment	July 3, 2023
2 <sup>nd</sup> Payment	October 2, 2023*
3 <sup>rd</sup> Payment	January 2, 2024
4 <sup>th</sup> Payment	April 1, 2024

\*If unexpended funds from the previous budget period have not been received by this date, additional funds will not be released, and additional expenses cannot be incurred against these grants until those unexpended funds have been received by MDPH OPEM. Unexpended funds are required to be reverted and barring any unexpected circumstances, received by MDPH OPEM within 30 days after an agreement of the reversion amount is reached.

**Sub-recipients.** Sub-recipient means a non-Federal entity that receives a sub award from a pass-through entity to carry out part of a Federal program but does not include an individual that is a beneficiary of such program. A sub-recipient may also be a recipient of other Federal awards directly from a Federal awarding agency. Any funding that is awarded from the sub-recipient to another entity will necessitate the need for that entity to comply with the same requirements and restrictions as the sub-recipient.

**Subcontracts.** Any contract entered into by a sub-recipient for the purposes of fulfilling the obligations or responsibilities outlined in their scope of work, must be in writing, authorized in advance by MDPH OPEM following submission of a Subcontractor Identification Package and shall be consistent with and subject to the provisions of the [Commonwealth Terms and Conditions](#). See additional details in Section 5.

Subcontracts will not relieve or discharge a Sponsoring Organization from any duty, obligation, responsibility, or liability arising under a contract. The Department is entitled to copies of all subcontracts and shall not be bound by any provisions contained in a subcontract to which it is not a party.

**Reporting of violations (fraud, waste, and abuse).** It is the responsibility of all grant sub-recipients and their respective agency personnel, grantees, sub-grantees, and contractors under grants, to report to MDPH OPEM or other responsible officers any alleged violations, serious irregularities, sensitive issues, or overt or covert acts that would use public funds or perform program or administrative requirements not consistent with grantor agency rules and regulations, related laws and/or regulations, appropriate guidelines, or purposes or objectives of the grants. Suspected wrongdoing may be reported to the Office of the Inspector General of Massachusetts via [online form](#), 1-800-322-1323 or email at [IGO-FightFraud@mass.gov](mailto:IGO-FightFraud@mass.gov). The Health and Human Services (HHS) Inspector General may be reached at 1-800-HHS-TIPS or <http://oig.hhs.gov/fraud/report-fraud/>.

**Program monitoring and evaluation.** MDPH OPEM will monitor the performance of each Sponsoring Organization through management evaluations and financial reviews, ongoing data reviews, reviews of performance measures, annual site visits and vendor monitoring reports. MDPH OPEM expects the Sponsoring Organization to self-evaluate its progress in meeting program performance standards and desired results. Additionally, Sponsoring Organizations are required to evaluate the progress of all sub-recipients awarded from these grants. MDPH OPEM staff provides technical assistance, as needed, for Sponsoring Organizations to meet performance standards on program deliverables and fiscal reporting.

**Site visits.** As part of its obligation to monitor contracts, MDPH OPEM may request annual site visits to review the fiscal/program records and practices of any funded program. The Sponsoring Organization is required to maintain records, books, files, and all data related to program operations. These records must be retained by the Sponsoring Organization throughout the duration of their contract (including multi-years), and for the subsequent six years following the termination of the contract.

**Contract termination.** MDPH OPEM may terminate a contract without cause or penalty or may terminate or suspend a contract if the contractor breaches any material term or condition or fails to perform or fulfill any material obligations required by a contract, or in the event of an elimination of an appropriation or availability of sufficient funds for the purposes of a Contract, or in the event of an unforeseen public emergency mandating immediate Department action.

### **Section 3: Administrative Responsibilities and Reporting**

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The administrative responsibilities of the Sponsoring Organization include but are not limited to:

**Contract documents.** Complete all contractual and related documents required by MDPH OPEM, including but not limited to amendments, budgets, Focus Area Reports, Subcontractor Identification Packages, expenditure requests, fiscal, and program reports.

**Sub-recipients.** Provide coordination, administrative, and fiscal support, and manage subcontracts with/for local health coalitions, hospitals, and Medical Reserve Corps (MRCs). Track progress of deliverables and submit required reports on deliverables to MDPH OPEM. Support local health coalitions, hospitals, and MRCs as they prepare an annual Focus Area Report

and budget, budget modifications, and review individual expenditures as outlined by MDPH OPEM.

**Reporting.** Submit Quarterly Expenditure Reports, Budget Modifications (if applicable), and updated Focus Area Reports to MDPH OPEM, using the format and timelines (Section 4) specified by MDPH OPEM.

**Succession.** Inform MDPH OPEM of changes in senior personnel that are critical to Sponsoring Organization operation and identify a transition plan to address continuation of critical functions. A position description/scope of work for all sponsoring organization positions supported with OPEM funding must be provided to MDPH OPEM prior to posting and hiring the position. These roles should also be identified in each Sponsoring Organization's Continuity of Operation Plan (COOP).

**Responsiveness.** Ensure timely response to MDPH OPEM inquiries and requests. Provide information as requested for CDC/ASPR according to timeframes specified by the PHEP/HPP Agreements. Timeframes are subject to change by CDC/ASPR.

**Acknowledgement.** All emergency preparedness educational and training materials developed or procured by the Sponsoring Organization with funding under these grants must be consistent with national and statewide standards and guidelines, e.g., CDCs PHEP Capabilities, ASPRs HPP Capabilities, National Incident Management System, and the Core Competencies for Public Health. In addition, all documents developed must include the following at the end of the publication:

This publication (journal article, etc.) was supported by the following Cooperative Agreements, Public Health Emergency Preparedness (PHEP) Cooperative Agreement CDC-RFA-TP19-1901 and Hospital Preparedness Program (HPP) Cooperative Agreement EP-U3R-19-001, from the Centers for Disease Control and Prevention and/or Administration for Strategic Preparedness and Response. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the CDC and/or ASPR.

A copy of the publication must be submitted to MDPH OPEM forty-five (45) days prior to submission for publication.

If a conference or training is funded with HPP and/or PHEP funds, the following statement must be included on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in whole or in part) by the Centers for Disease Control and Prevention and/or the Administration for Strategic Preparedness and Response. 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.

The HHS, CDC, ASPR or MDPH logo cannot be used on conference materials without express written consent of MDPH OPEM and the CDC Project Officer, CDC Grants Management Officer,



or ASPR Project Officer. For those wanting to obtain permission for this please contact the MDPH OPEM Regional Coalitions Coordinator.

## **Section 4: Fiscal Responsibilities and Reporting**

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The fiscal responsibilities of the Sponsoring Organization include but are not limited to:

**Budgets.** The budget template is required for all budget submissions. Sponsoring Organizations are required to submit budgets for all sub-recipients within their region. They must be reviewed by the Sponsoring Organization staff prior to submission to MDPH OPEM. The HMCC Sponsoring Organization must ensure any submitted budgets are detailed and include adequate information for MDPH to be able to review and determine if a cost is allowable and relative to annual deliverables. This includes, but is not limited to, the following review criteria:

- Anticipated cost of an item and the planned quantity
- Clear explanation on how the expense meets allowable criteria
- Linkage to a Focus Area
- Demonstration of how the proposed activity/expense is addressing an identified need or gap

**Quarterly Expenditure Reports.** The accurate and timely reporting of fiscal information is a deliverable of all MDPH contracts. Sub-recipients bill MDPH for services rendered by submitting Quarterly Expenditure Reports (QER). Although sub-recipients are paid prior to reporting expenses, the QER functions as an invoice to bill the contract. Failure to complete and submit timely reports may result in a delay in payment to the Sponsoring Organization. Sponsoring Organizations are required to submit QERs for each quarter, even if no funding has been spent in that quarter.

QERs must indicate exactly how funds were spent, show the expenditures broken down by item, report the focus area associated with each expenditure, and be reviewed by the HMCC Sponsoring Organization staff prior to submission to MDPH OPEM. Submitted reports are reviewed carefully by MDPH OPEM, first for procedural or mathematical errors, and second, for programmatic concerns to ensure that spending has followed principles of sound fiscal management and is tied to the capabilities and deliverables as outlined within the approved Focus Area Report. Documentation that does not provide this level of detail will be reviewed with the Sponsoring Organization for clarification.

The QER is used to indicate expenses incurred by the Sponsoring Organization, or other sub-recipients, in each quarter. An expense is incurred when services are rendered or goods received, regardless of when the bill is received or paid. For example, if office supplies are delivered in September, but the bill does not arrive until October, the supplies are still considered a first Quarter expense. All goods must be received, and all services rendered by the June 30<sup>th</sup> contract end date. For the fourth quarter QER, only spending for items received or services performed on or before June 30<sup>th</sup> are allowable. Encumbrances or open purchase orders for which goods have not been received or services have not been rendered before June 30<sup>th</sup> cannot be included in the fourth QER and will not be paid.



All expenses must be pre-approved by MDPH OPEM prior to expending the funds. If an item(s) cost has changed since the approval, money may be shifted within the category to cover the difference provided the shifted money does not exceed the budget of the category. A negative balance in any line item is the sole responsibility of the sub-recipient. Additionally, MDPH OPEM cannot be responsible for expenses that exceed the Maximum Obligation.

**Accounting records.** The record keeping systems employed by contractors and subcontractors participating in the Commonwealth's Purchase of Service system must adequately document contractor activities and meet financial and program reporting requirements. The Commonwealth of Massachusetts Operational Services Division (OSD) has established record keeping requirements which are consistent with relevant industry standards as specified by Generally Accepted Accounting Principles (GAAP). Failure to maintain adequate documentation upon inspection or audit may result in certain penalties, as listed in 808 CMR 1.04(11).

Funds received and approved in advance of expenditure by a sub-recipient for a capital budget item must be held in a segregated non-interest bearing account and must be expended within 60 days<sup>1</sup> (for policy on spending capital funds: Office of the State Comptroller, State Grants and Federal Sub-grants: <https://www.macomptroller.org/policies/>)

**Internal control.** An Internal Control plan is required of all contracted parties receiving federal funding per the Office of Management and Budget (OMB) Uniform Guidance (formerly OMB Circular A-133 requirements). An internal control plan encompasses the highest-level goals and risks of the grantee. This high level guide must be supported by lower level detail, specifically grantee policies and procedures. The internal control plan shall demonstrate a willingness to maintain written procedures that minimize the time elapsing between the receipt of funds and the disbursement of funds. Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets. The Sponsoring Organization must adequately safeguard all such property and must assure that it is used solely for authorized purposes.

**Budget control.** Actual expenditures must be tracked against an approved budget.

**Budget modifications.** There will be four modifications allowed: at the end of the first quarter, mid-year, at the end of the third quarter, and prior to year-end. The fourth modification should account for projected year end expenses. The Sponsoring Organization, and other sub-recipients, shall include a justification that includes details regarding which line item the funding is coming from and why the funds are not needed for the originally budgeted activity purchase. Retroactive budget modifications are not allowed; budget modifications must be approved by OPEM in advance of the expenditure of funds.

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<sup>1</sup>Policy on spending capital funds: Office of the State Comptroller State Federal Grant Policies, see **Process Requirements for Awards of Discretionary Grant Funding 2** (h) and **Grant Payments and Compensation & Grant Management and Close Out**).

The regulation for capital budget can be found in the administration of grants governed by 808 CMR 1.00.

**Allowable costs.** Applicable federal OMB cost principles, agency program regulations, and terms of grant and sub grant agreements will be followed in determining whether costs are reasonable, allowable, and appropriately allocated. Refer to Section 7, Principles for Allowable Program Expenses for additional information.

**Source documentation.** Accounting records must be supported by such source documentation as cancelled checks; paid bills; payroll records, time and attendance records contract and grant award documents, etc.

**Fixed assets.** Fixed assets are defined by the Commonwealth of Massachusetts Office of the Comptroller as singular assets (including infrastructure) such as equipment, furniture, computer software and all electrical and computer components with a useful life of more than one year and with a cost between \$1,000- \$49,999.

Sponsoring Organizations must establish, maintain, and provide to MDPH OPEM a record for proper inventory control for any fixed asset purchased with emergency preparedness funds that costs \$1,000 or more and has a useful life of one year or more (see Fixed Asset Inventory Report – Appendix B). The inventory tracking system must include the date of purchase; serial number or other unique identifier for each item purchased; address where the item is located; name of the person responsible for maintaining the item; date and reason item was moved or removed from service with exact disposition of location, e.g. storage, another department or entity; and other information as determined by MDPH OPEM.

Fixed assets must be periodically verified to ensure that information in the database is correct and up to date and also that materials remain in service. Assets will also be randomly selected for inspection during annual site visits.

**Deployable assets.** At the request of MDPH, Sponsoring Organizations must utilize and update an operational asset tracking tool, intended to track inventory, deployments, and requests for resources. This tool, accessed via MDPH’s WebEOC, is made up of two boards. The trailer board captures information about a mobile asset (ie, a trailer)’s operational status and location. The resource board will capture information related to the Sponsoring Organization’s deployable assets. This could include, but is not limited to fixed assets, personal protective equipment (PPE), technology caches, or items stored within a mobile asset (eg, the trailer’s location and status will be tracked on the trailer board, but what is inside will be tracked on the Resource Board). Any mobile asset or deployable assets bought or supported using PHEP, HPP, HMCC, or MRC funds must be tracked, and the information reviewed/updated following the Region or Coalition’s maintenance section of the Resource Annex (trailers must be reviewed at least annually).

**Capital Assets Requests.** The Federal OMB has established a capital threshold of \$5,000 for articles of nonexpendable, tangible personal property having a useful life of more than one year such as information technology hardware, software and modifications. Pre-approval by MDPH OPEM is required for purchase of a capital asset (Appendix C). All capital assets should be listed on the Fixed Asset Inventory Report.

**Disposition of other equipment/supplies.** For non-consumable, non-fixed assets that fall below the \$1,000 purchase threshold, such as cell phones and smaller technology supplies, the assets

should be disposed, following the procedures within each Sponsoring Organization and a record should be kept for six years.

**Distribution of funds.** Funds tied to an approved Focus Area Report, budget, and Subcontract Identification Package (if applicable) may be distributed, as directed by MDPH OPEM, from the Sponsoring Organization using a centralized or decentralized method of disbursement to support emergency preparedness planning and response activities.

The centralized method involves the Sponsoring Organization holding the funds and making payments on behalf of the sub-recipient based on a MDPH OPEM approved Focus Area Report and budget. MDPH OPEM recommends utilizing the centralized method of disbursement.

The decentralized method involves the Sponsoring Organization making allocations based on an approved MDPH OPEM Focus Area Report and budget.

The Sponsoring Organization is responsible for ensuring all funds released to funded entities are properly utilized in support of approved activities.

Sponsoring Organizations are advised to speak with their certified public accountant to understand the auditing requirements in the OMB Uniform Guidance (formerly the OMB Circular 133 requirements) as they pertain to a centralized or decentralized method of fund disbursement.

Use of funds should begin within 90 days of the start of the contract.

**Program income.** Any program income generated under this cooperative agreement shall be used in accordance with the additional costs alternative. By using the additional cost alternative, a Sponsoring Organization uses program income funds in addition to any Federal and non-Federal funds to support an emergency preparedness project. These funds are used for expansion of the project. The disposition of program income must have prior written approval from MDPH OPEM and the CDC and ASPR Grants Management Officer.

### **Fiscal Reporting Dates:**

**Expenditure reports:** Required from each Sponsoring Organization for each budget submitted. Quarterly expenditure reports shall be sent via the Reporting Submission Tool (RST)

1 <sup>st</sup> Quarter (July 1- Sep 30)	October 27, 2023
2 <sup>nd</sup> Quarter (Oct 1-Dec 31)	January 26, 2024
3 <sup>rd</sup> Quarter (Jan 1- Mar 31)	April 26, 2024
4 <sup>th</sup> Quarter (Apr 1-Jun 30)	July 28, 2024

**Budget modifications:** Allowed four times during the fiscal year. Budget modifications shall be sent via the Reporting Submission Tool (RST)

1 <sup>st</sup> Modification:	August 25, 2023
2 <sup>nd</sup> Modification:	November 17, 2023
3 <sup>rd</sup> Modification:	February 23, 2024
4 <sup>th</sup> Modification:	April 26, 2024

\*\* To help expedite end-of-year spending, the final Budget Modification should be submitted with the QER3 on April 26, 2024.

**Fixed asset inventory report:** The report shall include all purchases that qualify as a fixed asset.

The Fixed Asset Inventory Report shall be sent via email to: [dphhmcc@mass.gov](mailto:dphhmcc@mass.gov)

Fixed Asset Inventory Report:	July 26, 2024
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**Reversion of Unexpended Funds.** Unexpended funds are required to be reverted and received by MDPH OPEM within 30 days after an agreement of the reversion amount is reached, barring any unexpected circumstances.

In the event of extenuating circumstances, OPEM will work closely with Sponsoring Organizations to facilitate the most expedient reversion process possible.

## Section 5: Subcontracts

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All sub-recipient subcontracts, must:

### 5.1 Procurement Standards

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- Be obtained through a competitive process and in compliance with sound business practices. Please refer to the [Massachusetts Inspector General's Chapter 30B Manual: Procuring Supplies, Services and Real Property](#) (Updated May 2023).
- Ensure the subcontractor did not participate in the funded entities budgeting process when their contractual funds are discussed (e.g., A contracted MRC coordinator may not participate in the MRC unit's budgeting process that may include discussion of how much funding is being budgeted or modified for the contractor).
- Ensure that all subcontractors are legal entities and eligible to conduct business with the Commonwealth.
- Please note: if a Sponsoring Organization has previously subcontracted for services, it does not need to re-bid those services each year if it can document that the original process was competitive and contains all the required items listed in Section 5 of this document. However, a separate subcontract must be submitted for each contracted entity, each fiscal year, documenting which portion of the contract is applicable to the current FY. MDPH OPEM requires that Sponsoring Organizations review any subcontracts for services in place for three to five years to determine whether re-opening the procurement of services could achieve lower costs or enhanced services.

## 5.2 Administrative Requirements

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- To ensure contracts begin on the expected start date, sponsoring organizations should compile all required subcontract documentation in a Subcontractor Identification Package and submit to OPEM for review and approval at least 45 days in advance of the anticipated subcontract start date.
- Subcontractor Identification Packages must be submitted to MDPH OPEM for approval prior to execution. Start dates of subcontracts cannot precede the date of MDPH OPEM approval.
- Sponsoring organizations must review each subcontract prior to submitting to MDPH OPEM to ensure all items in this document are being followed and the Subcontractor Identification Package is complete and accurate. Incomplete/inaccurate submissions will be sent back, unreviewed, for correction and resubmission. This delays the process and may delay the subcontract start date.
- The Subcontractor Identification Package must be resubmitted if there are any changes in the subcontractor entities, or scope of work that would necessitate a change to the dollar amounts to already identified subcontractors.

### 5.2.1 Subcontract Identification Package Requirements

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Subcontractor Identification Packages are comprised of:

- A signed MDPH Purchase of Service Office Subcontractor Identification (Appendix D) listing the proposed subcontractor.
- An un-signed contractual agreement with the proposed subcontractor that incorporates the following:
  - Scope of service detailing the work that will be performed and the project deliverables
  - A contract amount based on a MDPH OPEM approved sub-recipient budget
  - Contain a justification to demonstrate how the subcontract rate has been calculated. Sub-contracts can be outlined with an hourly rate and scope of work or may be project based with a total sum of money attached to each of the projects and an approximation of how many hours that project will take to complete. Any amendment or change must demonstrate to MDPH how a modification was decided, to ensure the recipient of a subcontract is not in conflict with conflict of interest.
  - Contain language that states:
    - The subcontractor will be held accountable to the applicable [Commonwealth Terms and Conditions](#).
    - There will be an evaluation process to ensure the contracted work is being accomplished. This process should be standard across all subcontracts and must include a mid-point progress and end of contract final evaluation.
    - Employees, consultants, or individuals of a sub-contractor cannot charge more than 40 hours a week of their time to a grantee contract(s) or between multiple MDPH OPEM vendors (eg,

sponsoring organizations). MDPH OPEM reserves the right to audit any sub-contractor to certify that no more than 40 hours of a person's time is being charged accurately.

- If the subcontract involves work being performed by an individual, a copy of the resume.
- If sub-contractor has multiple engagements, they must also submit documentation showing they are capable of fulfilling the obligations of all sub-contracts.

### 5.3 Additional Subcontract Requirements

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The Sponsoring Organization must:

- Ensure the subcontracts follow the above items listed at the beginning of Section 5.
- Ensure that the subcontracted providers submit timely monthly billing.
- Ensure that payments to subcontracted providers are processed within 30 days of receipt of invoices.
- Perform and document a mid-point and end of contract performance evaluation of the contracted services for each subcontract. Documentation of the evaluation findings must be submitted to MDPH OPEM within 30 days of completion.
- Sub-recipients and subcontractors shall be solely liable for subcontracts which do not comply with the provisions of this section.

### Section 6: Contract Budgets

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The MDPH OPEM budget template is required for all budget submissions. All coalition level budgets that include community allocations must have detailed out those expenditures in the categories within the budget template. Any un-budgeted dollars may not be expended or distributed until a budget modification has taken place. Contract budgets must be directly related to supporting or enhancing public health and healthcare emergency preparedness capabilities, and consistent with and within the scope of the federal and state grant guidance, MDPH OPEM deliverables, and the OPEM Grants Management Manual. As noted in Section 4, HMCC Sponsoring Organizations will ensure appropriate details are included on budgets prior to submission.

Contract budgets are organized by direct and indirect costs.

**Direct costs.** Expenditures related to administration and support activities which are directly related to the emergency preparedness program are direct costs. These include:

**Salary and Wages.** This portion of the budget represents salaries and wages for all personnel to implement the contract and for whom payroll taxes are paid.

**Fringe.** Fringe benefits include health insurance, pension contributions, payroll taxes and all other non-salary/wage benefits received by budgeted staff. This does not include sick, personal or vacation time, which should be contained within the salary line. The fringe line should reflect the proportion of the staff salary supported by the contract.

**Travel.** Travel includes in-state and out-of-state costs for those who will travel including transportation, meals, lodging, and meeting registration. Mileage may be reimbursed for travel to allowable meetings if using a personal vehicle. Travel costs must be reimbursed according to the GSA rates, <http://gsa.gov/portal/category/100120>. Please see attached Policy for Use of Emergency Preparedness Funds to Attend Conferences and Trainings (Appendix E).

**Equipment.** Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.

**Supplies.** Supplies means all tangible personal property other than those described in §200.33 Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life.

**Contractual.** Includes all subcontracts, including those for the services of planners and coordinators working as independent contractors, to develop, revise, implement and exercise plans and agreements. A subcontractor's role is to evaluate a client's needs and perform the work. Payment should be based on the number of hours needed to do the job times a fixed hourly rate and must be determined before the job begins. Subcontractors set their own work hours, furnish their own equipment, and are responsible for incidental expenses, including those for training, conference attendance and travel.

**Other MDPH funded.** For items that do not fall within other budgeted categories, including allocations to communities (unless there is a contract for the allocation, then it would go in Contractual). These funds need to be modified and moved to the appropriate category (if possible) for approval prior to being expended.

**Indirect or administrative costs.** Expenditures that are not directly associated with any one program or a combination of programs but which are related to the overall implementation of the contract are indirect costs. These costs may include but are not limited to the following:

- general office supplies and materials;
- leasing or routine replacement of office equipment;
- office telephone lines of indirect staff;
- costs related to occupancy of administrative premises;
- administrative and support staff training and travel;
- parent organization costs; and
- legal fees.

The above costs shall not be budgeted as a direct cost and costs itemized as direct expenditures shall not be included as part of indirect or administrative costs. Indirect costs must be detailed in the 'Indirect' section of the initial budget and cannot be reflected in other areas of the budget.



Sponsoring organizations that utilize a federally Negotiated Indirect Cost Rate Agreement that includes fringe benefit costs must include the indirect costs the ‘Indirect’ section of the initial budget, rather than under ‘Salary and Fringe’.

To cover indirect/administrative costs, entities with a federally agreed upon indirect rate shall apply that rate on the basis permitted by the federal government. If the grant sub-recipient possesses a federally agreed upon indirect rate, proof of such an agreement must be provided to MDPH OPEM during the budget process. That document will remain on file and MDPH OPEM will require an updated letter should that rate change. If an organization does not have a federally approved indirect rate to apply to administrative expenses incurred as a result of grant implementation, they may incur grant related expenses up to, but not more than, 15% of the award for such purposes. Sponsoring organizations may only take indirect on the HMCC budget.

## **Section 7: Principles for Allowable Program Expenses**

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CDC PHEP funds may be used to support public health emergency preparedness activities while ASPR HPP funds may be used to support healthcare system preparedness activities. Sponsoring Funds are intended to address identified gaps in both these areas to strengthen and enhance the readiness of the public health and the health care delivery system to save lives during emergencies that **exceed the day-to-day capacity and capability of the public health and medical emergency response systems**. Organizations are encouraged to consult with MDPH OPEM to discuss the allowable use of grant funds.

### **7.1 Factors Affecting Allowable Costs**

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Costs must meet all the following criteria:

- Be tied to an approved Focus Area Report with deliverables that meet the goals and objectives of the MDPH OPEM grant.
- Be reasonable and necessary for accomplishing the objectives of the program and for implementing activities as described in the approved Focus Area Report. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. Consideration should be given to whether the cost is of a type generally recognized as ordinary or necessary for the operation or performance of the recipient.
- Not be available otherwise at no cost (e.g. Software or platform offered or available for use at no cost)
- Build public health and healthcare system capacity to effectively respond to a range of public health threats, including but not limited to infectious diseases, natural disasters, and biological, chemical, nuclear, and radiological events.
- Be authorized in advance by MDPH OPEM.
- Not be prohibited under State laws or regulations.
- Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
- Be in accordance with generally accepted accounting principles.
- Be adequately documented.

## 7.2 Allowable Program Expenses

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**Advertising costs.** Advertising costs are allowable only for recruitment by a recipient organization of personnel or volunteers required for the performance of obligations arising under a Federal award; procurement of goods and services for the performance of a Federal award; and disposal of scrap or surplus materials or other requests that may be approved and authorized by MDPH OPEM.

**Audit costs and related services.** The costs of audits required by, and performed in accordance with, the single State Audit Act, are allowable as specified in OMB Uniform Guidance (formerly OMB Circular A-133), Section 200.425.

**Communication costs.** Data costs for phones and tablets are allowable for 24/7 points of contact for up to two individuals who have a defined role in responding to after-hours incidents and emergencies in a community or MRC, and for the Sponsoring Organization staff who are identified as 24/7 points of contact in their HMCC Response Plan. Requests for replacement phones need to indicate date of last purchase for that particular line or individual. 24/7 contacts are expected to respond to drills conducted by MDPH OPEM and the HMCC. Sponsoring Organizations will use this list to reconcile drill results quarterly, to ensure active participation of members on the 24/7 list.

**Compensation and fringe benefit costs.** Compensation includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the MDPH OPEM award, including but not limited to wages, salaries and fringe benefits.

Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to, the costs of health insurance, pension contributions and payroll taxes, and all other non-salary/wage benefits received by budgeted staff. Sub-recipients should provide documentation of their fringe benefit rate or provide itemization for how the fringe benefit amount is computed.

**Conference and training costs.** Costs of attending or hosting trainings and conferences, the primary purpose of which is the dissemination of technical information related to public health or healthcare emergency preparedness, are allowable if consistent with the Policy for Use of Emergency Preparedness Funds to Attend Conferences and Trainings (Appendix E) and approved through the Request to Host/Attend Training or Conference Forms (Appendix F). This includes costs of transportation, rental of facilities, speaker fees and other items incidental to such training or conferences.

PHEP and state funds may not be used to pay for food. The exception to this is paying for travel per-diem costs, including food, following Appendix E: Policy for Use of Emergency Preparedness Funds to Attend Conferences and Trainings. HPP funds may be used to pay for food, beverages, and snacks for conferences or trainings lasting more than four hours. Since HMCCs are 75% funded via HPP in BP5 (1901-05), they may use funds towards food as long as the cost is less than 75% of the overall cost for the training/conference/exercise and the intended audience is multidisciplinary. If the training/conference/exercise has no direct cost (e.g. Will be offered to the coalition without speaker fee, course fee, and without facility or rental fee), MDPH

OPEM will review an HMCC's request to utilize funds towards food on a case by case basis. When hosting a conference or training, the agenda should be structured so that there is time for participants to purchase their own food, beverages and snacks.

Expenditures for out-of-state trainings must be approved by MDPH OPEM in advance. See Appendix E for the Policy for Use of Emergency Preparedness Funds to Attend Conferences and Trainings. Anticipated costs must be outlined on a Request to Host/Attend Training or Conference form and submitted at least 30 days prior to the conduct of, or attendance at, any training/conference that is supported by PHEP, HPP, or state funds. . Sign in sheets for each hosted training or conference are required to be submitted to [dphhmcc@mass.gov](mailto:dphhmcc@mass.gov) within 30 days of the completion of the training/conference.

**Consultant service costs.** Costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and who are not officers or employees of the recipient organization, are allowable. Consultants are typically used for short-term projects. A consultant's role is to evaluate a client's needs and provide expert advice and opinion on what needs to be done.

**Equipment and supplies costs.** Costs incurred for equipment, office supplies, and related expenditures necessary to carry out the award are allowable. Any personal protective equipment must have a maintenance plan prior to being an allowable cost. This plan must include how the supplies will be maintained and a rotation plan to ensure they are used and restocked prior to expiration. Any regional cache must also have an allocation strategy as part of the plan.

**Medical Reserve Corps Funds.** PHEP, or state funds may be used to directly support MRC units operations and must follow MRC Focus Area Report and eligibility to be allowable. If an MRC unit elects not to take state funds, PHEP, funds may be used to support specific needs of the unit as long as the unit continues to complete a Focus Area Report and meets the MRC deliverables.

**Meeting costs.** Costs associated with conducting or attending business meetings, the primary purpose of which is for monitoring progress with focus area activities and information sharing related to public health or healthcare emergency preparedness, are allowable. This includes costs of transportation and facilities and other items incidental to such meetings or conferences but excluding food and beverage for all meetings funded by PHEP or MRC funds. HPP funds may be used to pay for food, beverages, and snacks for a single meeting lasting more than four hours. Since HMCCs are 75% funded via HPP in BP5 (1901-05), they may use funds towards food as long as the cost is less than 75% of the overall cost for the meeting and the intended audience is multidisciplinary. If an HMCC intends to use these funds, it must be part of an approved budget.

**Overtime.** Sub-recipients may (with prior written approval) use funds for overtime for individuals directly associated (listed in personnel costs) with the award.

**Publication and printing costs.** Publication costs include costs of printing (including the processes of composition, platemaking, press work, binding and the end products produced by such processes), distribution, promotion, mailing, translations, and general handling.

**Planners/Administrative Coordinators.** Planners and/or administrative coordinators may be retained as sub-contractors to support the completion of grant deliverables. Sub-contracts for all planners and/or administrative coordinators must be created in accordance with Section 5 of this document and any additional guidance provided by MDPH OPEM (e.g., BP5 overview, deliverables, workplan briefing). Their scopes of work must tie directly to an approved Focus Area and budget. Scopes of work may not overlap and supplanting of contract services is not permitted.

A sub-contract review of planner and/or administrative coordinator services is required bi-annually by the sponsoring organization. In conducting these required mid-year and annual performance evaluations, sponsoring organizations should solicit input from individuals who directly inform or utilize the work of the subcontractor (e.g., MDPH OPEM Regional Coordinator, PHEP coalition members, etc.). Beginning with BP5, sponsoring organizations will be required to submit to MDPH OPEM a record of the findings of the subcontractor review process at the end of each budget period. These findings from the subcontractor review process will also need to be included within the Subcontractor Identification Package submitted to MDPH OPEM.

*Employees.* Planners and/or administrative coordinators may also be hired as employees (rather than contractors) of an organization or municipality to support the completion of grant deliverables. There are no differences in the expectations and requirements for planner and/or administrative coordinator positions based on their type of employment arrangement. As such, in the event a coalition determines that it is in the best interest of the program to utilize an employee (not contractor) of an organization or municipality to fill the role of planner and/or administrative coordinator, the sponsoring organization must submit to MDPH OPEM:

- A letter signed by the coalition’s leadership that details the justification for an employment vs. contractual arrangement.
- A position description/scope of work that details the requirements and expectations for the position of planner and/or administrative coordinator.
- A record of the findings of a performance review process at the end of each budget period.

**Rental costs.** rental costs are allowable to the extent that the rates are reasonable in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; etc. Rental arrangements must be reviewed annually to determine if circumstances have changed and other options are available. Rental costs may not be part of indirect and also counted as a separate line item.

**Subscriptions and professional activity.** Costs for subscriptions and professional activity directly related to emergency preparedness are allowable.

**Travel costs.** Costs for general travel to in-state and out-of-state emergency preparedness conferences and trainings must be in accordance with the Policy for Use of Emergency Preparedness Funds to Attend Conference and Trainings. These costs must be incurred by employees funded with HPP, PHEP, or state emergency preparedness funds, or by employees who have a defined role in responding to incidents and emergencies in a community or organization who are in travel status on official business of the recipient organization. Travel

costs incurred by independent contractors are not reimbursable. All costs must be itemized within the approved budget and conference/training request forms and must also be detailed in the QERs. Travel costs must be reimbursed according to the GSA rates, <http://gsa.gov/portal/category/100120>.

**Vehicles.** PHEP awardees can (with prior approval) use funds to purchase material-handling equipment (MHE) such as industrial or warehouse-use trucks to be used to move materials, such as forklifts, lift trucks, turret trucks, etc. Vehicles must be of a type not licensed to travel on public roads.

Rental car costs are permitted only if it can be demonstrated that the cost of a rental vehicle is a more cost-efficient means of transportation.

## **Section 8: Unallowable Costs**

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In general, grant costs are considered unallowable unless they have been approved by MDPH OPEM via an Initial Budget or Budget Modification. In addition, MDPH OPEM grant funds may not be used for the following purposes:

**Airfare.** Funds may not be used for airfare costs in excess of the customary standard commercial airfare (coach or equivalent).

**Back filling costs.** Funds may not be used for the payment or reimbursement of back filling cost for staff, including healthcare personnel for exercises.

**Bad debt.** Funds may not be used to pay bad debts of any kind.

**Buildings and land.** Funds may not be used for the purchase or improvement of land, the purchase, construction, or permanent improvement of any building, (see construction below).

**Charges.** Funds may not be used to pay interest, late fees, or other finance charges.

**Clinical care.** Funds may not be used for clinical care.

**Clothing.** Funds may not be used to purchase clothing such as jeans, cargo pants, polo shirts, jumpsuits, sweatshirts, or T-shirts. **Compensation.** Funds may not be used to pay contracts for compensation with advisory board members.

**CMS Conditions of Participation.** Funding to individual health care entities is not permitted to be used to meet Centers for Medicare and Medicaid Services (CMS) conditions of participation, including CMS-3178-F Medicare and Medicaid Programs: Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers.

**Construction.** Funds may not be used for construction or major renovations. HPP funds may be used for *minor* alteration and renovation (A&R), which is generally is defined as work required to change the interior arrangements or installed equipment in an existing facility so that it may be more effectively utilized for its currently designated purpose or be adapted for an alternative use

to meet a programmatic requirement. The work may be categorized as improvement, conversion, rearrangement, rehabilitation, remodeling, or modernization, but it does not include expansion, new construction, development, or repair of parking lots, or activities that would change the “footprint” of an existing facility (e.g., relocation of existing exterior walls, roofs, or floors; attachment of fire escapes). PHEP and state funds may not be used for any construction or any renovations.

**Consulting fees.** Funds may not be used to pay consulting fees for salaried program personnel to perform activities related to grant objectives.

**Entertainment.** Funds may not be used for costs of entertainment, including amusement, diversion, and social activities and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities).

**Food and beverage.** PHEP and state funds may not be used to pay for food. The exception to this is paying for travel per-diem costs, including food, following Appendix E; Conference and Training Policy. HPP funds may be used to pay for food, beverages, and snacks for a single meeting, conference, or training lasting more than four hours. When hosting a meeting, conference, or training that is less than four hours, the agenda should be structured so that there is time for participants to purchase their own food, beverages and snacks. Funds may not be used to pay for food and beverages for receptions or “networking” sessions, regardless of duration. Funds may not be used for the cost of alcoholic beverages.

**Influence.** Funds may not be used to advance political or religious points of view or for fundraising or lobbying; payments to any person for influencing or attempting to influence members of Congress or the Massachusetts General Court are prohibited.

**Medical Reserve Corps Funds.** PHEP, HPP, and state funds may not be used to support federally recognized MRC units that do not credential all MRC volunteers in MA Responds. MRC funds may not be used to support public health emergency preparedness and response activities not directly related to MRC unit operations. MRC units may not use HMCC, PHEP, HPP, or state funds to support volunteer databases.

**Pre-award costs.** Funds may not be used for reimbursement of pre-award costs.

**Pre-payment.** Funds may not be used for prepayment for services.

**Promotional items.** Funds may not be used for the purchase of promotional items. This includes, but is not limited to, pens, cups, key chains, baseball caps, paperweights, magnets, patches, logo shirts and apparel, balloons and buttons.

**Refrigerators.** Funds may not be used for the purchase of vaccine refrigerators unless the requesting party is making the purchase to provide operational redundancy to support the cold chain management provisions that are included in their current emergency dispensing site plan, and will directly support their capacity to receive and store medical countermeasures for prophylaxis or treatment as provided in Capability 8, Medical Countermeasure Dispensing and Administration.



**Research.** Funds may not be used for research.

**Seasonal influenza.** Funds may not be used for costs associated with seasonal influenza vaccine clinics, including storage and supplies.

**Supplanting.** Funds may supplement, but may not supplant, existing programs.

**Telecommunication:** Funds may not be used for international voice/data communications. In addition, Funds may not be used to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company, ZTE Corporation (or any subsidiary or affiliate of such entities), Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities). Funds may also not be used for telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country. COVERED FOREIGN COUNTRY means the People's Republic of China.

**Trainings and exercises.** HPP funding may not be provided to individual health care entities for individual health care organizations' trainings and exercises. HPP funding may be used to plan and conduct trainings and exercises at the regional or HMCC level.

All training, exercise, and conference requests must be preapproved by MDPH OPEM prior to any funds being expended. This includes funds spent on salaries or contracted individuals to develop/attend/support a training, exercise, or conference (including, but not limited to, MRC coordinator's time, PHEP planner, or HMCC Staff time).

Grant funds cannot be spent on training courses, exercises, and planning resources when similar offerings are available at no cost. Grant funds may not be used to reimburse regular salary costs of conference or training attendees.



**Section 9: Appendices**

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## COMMONWEALTH OF MASSACHUSETTS CONTRACTOR AUTHORIZED SIGNATORY LISTING

**CONTRACTOR LEGAL NAME :**  
**CONTRACTOR VENDOR/CUSTOMER CODE:**

**INSTRUCTIONS:** Any Contractor (other than a sole-proprietor or an individual contractor) must provide a listing of individuals who are authorized as legal representatives of the Contractor who can sign contracts and other legally binding documents related to the contract on the Contractor's behalf. In addition to this listing, any state department may require additional proof of authority to sign contracts on behalf of the Contractor, or proof of authenticity of signature (a notarized signature that the Department can use to verify that the signature and date that appear on the Contract or other legal document was actually made by the Contractor's authorized signatory, and not by a representative, designee or other individual.)

**NOTICE:** *Acceptance of any payment under a Contract or Grant shall operate as a waiver of any defense by the Contractor challenging the existence of a valid Contract due to an alleged lack of actual authority to execute the document by the signatory.*

For privacy purposes **DO NOT ATTACH** any documentation containing personal information, such as bank account numbers, social security numbers, driver's licenses, home addresses, social security cards or any other personally identifiable information that you do not want released as part of a public record. The Commonwealth reserves the right to publish the names and titles of authorized signatories of contractors.

AUTHORIZED SIGNATORY NAME	TITLE

I certify that I am the President, Chief Executive Officer, Chief Fiscal Officer, Corporate Clerk or Legal Counsel for the Contractor and as an authorized officer of the Contractor I certify that the names of the individuals identified on this listing are current as of the date of execution below and that these individuals are authorized to sign contracts and other legally binding documents related to contracts with the Commonwealth of Massachusetts on behalf of the Contractor. I understand and agree that the Contractor has a duty to ensure that this listing is immediately updated and communicated to any state department with which the Contractor does business whenever the authorized signatories above retire, are otherwise terminated from the Contractor's employ, have their responsibilities changed resulting in their no longer being authorized to sign contracts with the Commonwealth or whenever new signatories are designated.

\_\_\_\_\_

Signature

Date:

Title:

Telephone:

Fax:

Email:



**COMMONWEALTH OF MASSACHUSETTS  
CONTRACTOR AUTHORIZED SIGNATORY LISTING**

**CONTRACTOR LEGAL NAME :**

**CONTRACTOR VENDOR/CUSTOMER CODE:**

[Listing can not be accepted without all of this information completed.]

A copy of this listing must be attached to the “record copy” of a contract filed with the department.



**COMMONWEALTH OF MASSACHUSETTS  
CONTRACTOR AUTHORIZED SIGNATORY LISTING**

CONTRACTOR LEGAL NAME :  
CONTRACTOR VENDOR/CUSTOMER CODE:

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**PROOF OF AUTHENTICATION OF SIGNATURE**

**It is required that Departments obtain authentication of signature for the signatory  
who submits the Contractor Authorized Listing.**

**This Section MUST be completed by the Contractor Authorized Signatory in presence of notary.**

Signatory's full legal name (print or type):

Title:

**X** \_\_\_\_\_  
Signature as it will appear on contract or other document (**Complete only in presence of notary**):

**AUTHENTICATED BY NOTARY OR CORPORATE CLERK (PICK ONLY ONE) AS FOLLOWS:**

I, \_\_\_\_\_ (NOTARY) as a notary public certify that I witnessed  
the signature of the aforementioned signatory above and I verified the individual's identity on this date:

\_\_\_\_\_, 20 \_\_\_\_.

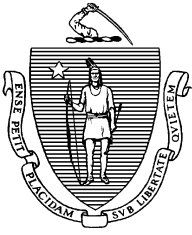
My commission expires on:

AFFIX NOTARY SEAL

I, \_\_\_\_\_ (CORPORATE CLERK) certify that I witnessed the  
signature of the aforementioned signatory above, that I verified the individual's identity and confirm the individual's  
authority as an authorized signatory for the Contractor on this date:

\_\_\_\_\_, 20 \_\_\_\_.

AFFIX CORPORATE SEAL



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
250 Washington Street, Boston, MA 02108-4619

MAURA T. HEALEY  
Governor

KIMBERLEY DRISCOLL  
Lieutenant Governor

KATHLEEN E. WALSH  
Secretary

ROBERT GOLDSTEIN, MD, PhD  
Commissioner

Tel: 617-624-6000  
[www.mass.gov/dph](http://www.mass.gov/dph)

**Fixed Asset Purchase Policy**  
**Budget Period 4**  
**July 1, 2023 – June 30, 2024**

Fixed assets are defined by the Commonwealth of Massachusetts Office of the Comptroller as singular assets (including infrastructure) such as equipment, furniture, computer software and all electrical and computer components with a useful life of more than one year and with a cost between \$1,000- \$49,999.

**Fixed Asset Inventory Report**

The Massachusetts Department of Public Health Office of Preparedness and Emergency Management (DPH OPEM) is responsible for oversight and tracking of fixed asset expenditures purchased with federal emergency preparedness funds. Health and Medical Coordinating Coalitions (HMCC) Sponsoring Organizations must maintain an inventory of all fixed assets and report them via the Fixed Asset Inventory Report to DPH OPEM.

The following criteria apply to the purchase of any fixed asset with a cost between \$1,000 and \$49,999 using federal or state emergency preparedness funding:

1. An inventory of all fixed assets must be maintained on the Fixed Asset Inventory Report and fixed assets must be tagged with a DPH OPEM tracking label upon receipt of the item.
2. The inventory tracking system must include the date of purchase; serial number or other unique identifier for each item purchased; address where the item is located; name of the person responsible for maintaining the item; date and reason item was moved or removed from service with exact current disposition of location, e.g. storage, another department or entity; and other information as determined by DPH OPEM.
3. Fixed assets purchased with funds provided from DPH OPEM are owned by and must be returned to DPH OPEM at the end of the contract period, if requested.
4. Fixed assets must be periodically verified to ensure that information in the database is correct and up to date and also that materials remain in service.
5. Purchase of any fixed asset must follow all local, federal and state procurement regulations.
6. The Fixed Asset Inventory Report must be submitted to DPH OPEM at [dphmcc@mass.gov.us](mailto:dphmcc@mass.gov.us) on June 30, 2024.

**Capital Asset Requests**

The Federal Office of Management and Budget has established a capital threshold of \$5,000 for articles of nonexpendable, tangible personal property having a useful life of more than one year. All fixed asset purchases valued at \$5,000 (capital threshold) or more must be pre-approved by DPH OPEM. ***Noncompliance with this policy may necessitate repayment of funds received and/or ineligibility for future funds.***

**Process for Capital Asset Purchase Submission, Review, and Appeal**

1. HMCC Sponsoring Organizations must use the Capital Asset Request Form (Appendix C) to obtain pre-approval from DPH OPEM prior to using federal or state emergency preparedness funds to purchase a fixed asset costing \$5,000 or more. All form fields must be completed in order for the request to be considered. Completed forms must be provided to the HMCC Sponsoring Organization for submission to DPH OPEM via email at [dphhmcc@mass.gov](mailto:dphhmcc@mass.gov).
2. Upon receipt of a Capital Asset Request Form, DPH OPEM will review and log the Form. Every request to purchase a capital asset will be reviewed and approved by either the Public Health Preparedness and Response Manager (for PHEP or state fund requests) or the Healthcare Preparedness and Response Manager (for HPP fund requests) (“review staff”). Each request will be reviewed to determine that the expenditure is part of an approved budget and reasonable, directly related to supporting or enhancing public health or healthcare emergency preparedness, and consistent and within the scope of the federal grant guidance, MRC Guidelines, DPH OPEM deliverables, and the DPH OPEM Grants Management Manual.
3. When being considered, the review staff will review the Form and determine whether additional information is required prior to decision. If necessary, contact will be made with the HMCC Sponsoring Organization to request any additional information needed. The review staff will not consider a request until the form is complete and all necessary information has been obtained.
4. Following review, the review staff will approve or deny the request. DPH OPEM will maintain a log for each request reviewed by the review staff, noting the date of review and disposition of the request. If a request is denied, the log will include a statement of the reasons for the denial.
5. The review staff will notify the HMCC Sponsoring Organization in writing of its determination by close of business on the Friday immediately following the Thursday review. A request to purchase a fixed asset with a cost of more than \$5,000 may also require review and prior approval from CDC or ASPR. If this is necessary, DPH OPEM will seek approval as quickly as possible once the item has been approved within DPH OPEM. If a request is denied, the notice will indicate the reason(s) for the denial, identify possible alternatives to address the need identified in the request, offer to

schedule a conference call with the HMCC Sponsoring Organization to discuss the request, and describe the process for appealing the review staff's decision.

6. DPH OPEM will maintain copies of all requests received, supporting documentation, written notifications of the disposition of each request, requests for appeal, and disposition of any appeals.
7. If the review staff denies a request, the requesting entity may appeal the decision by sending a written notice of appeal to the Director of the Office of Preparedness and Emergency Management [dph.emergencypreparedness@mass.gov](mailto:dph.emergencypreparedness@mass.gov) within **ten (10) business days** after the date that the notice of denial was sent.

In the notice to the DPH OPEM Director, the HMCC Sponsoring Organization should state its rationale for appealing the decision of the review staff, specifically addressing the reasons stated in the notification of denial as well as the feasibility of any alternatives suggested by the review staff.

The Director will convene a conference call or in-person meeting to discuss the appeal as soon as practicable; participants for the conference call or meeting will include the director, the review staff and a representative from the HMCC Sponsoring Organization.

Prior to the conference call, the review staff will provide to the Director a copy of the notification of denial and the Capital Asset Request Form, along with any supporting documentation that was submitted and considered by the review staff. The requesting HMCC Sponsoring Organization may submit to the Director additional documentation to specifically address the reasons for denial and/or the feasibility of any alternatives suggested by the review staff.

During the conference call, the HMCC Sponsoring Organization will have an opportunity to provide its reasons for appealing the decision of the review staff, and to discuss any additional documentation submitted for review by the Director. The participants will review and discuss the reasons for denial, and consider any additional documentation submitted on behalf of the requesting entity. The focus of the discussion during the conference call will be to determine whether the proposed expenditure is reasonable, directly related to supporting or enhancing public health emergency preparedness, and consistent and within the scope of the federal grant guidance, MRC Guidelines, DPH OPEM deliverables, and the DPH OPEM Grants Management Manual.

The Director will provide a decision in writing to the HMCC Sponsoring Organization review staff within five (5) business days after the conference call. The response to the appeal will provide a summary of the discussion from the conference call or in-person meeting, and fully state the grounds for granting or denying the appeal. If the appeal is denied, the director will work with the HMCC Sponsoring Organization to determine whether it wishes to request further review of the decision by the appropriate federal program Project Officer.





The Commonwealth of Massachusetts  
 Executive Office of Health and Human Services  
 Department of Public Health  
 250 Washington Street, Boston, MA 02108-4619

MAURA T. HEALEY  
 Governor

KIMBERLEY DRISCOLL  
 Lieutenant Governor

KATHLEEN E. WALSH  
 Secretary

ROBERT GOLDSTEIN, MD, PhD  
 Commissioner

Tel: 617-624-6000  
 www.mass.gov/dph

### Capital Asset Purchase Request Form

Purchase of a capital asset, an item with a cost of \$5,000 or more and a useful life of more than one year, requires submission of this form for prior authorization by DPH OPEM. See Appendix C for an explanation of the Fixed Asset Purchase Policy.

- ✓ The requesting entity must complete and submit this form for each single item with a cost of \$5,000 or more and a useful life of more than one year. **All fields must be completed or the form will be returned.**
- ✓ The HMCC Sponsoring Organization will review and sign the form, and submit it to DPH OPEM at [dphmcc@mass.gov](mailto:dphmcc@mass.gov) for approval.

Request submitted by			
Name:		Organization:	
Address:			
Phone number:		Email address:	
Funding Source(s) Used for Purchase			
<input type="checkbox"/> PHEP	<input type="checkbox"/> HPP	<input type="checkbox"/> HMCC	<input type="checkbox"/> MRC
Will funds from another source support the purchase? <input type="checkbox"/> No <input type="checkbox"/> Yes			
If Yes, what is funding source and amount?:			
Item Description			
General description:		Brand:	
Model number:		Number of items <i>(if more than 1)</i> :	
Cost per Item:		Total cost of request:	
How will the fixed asset be used and by whom?:			

How will the purchase directly support or advance a public health or healthcare preparedness capability:

Where will the fixed asset be located, and who is responsible for storing and maintaining the fixed asset? *Liability for theft and/or damage of the asset while in storage lies with party responsible for maintaining the fixed asset.*

Fixed asset location:

Name of responsible person:

Address:

E-Mail Address:

Phone Number:

**For Sponsoring Organization or Host Agency use only**

Reviewed by:

Date:

Date submitted to DPH OPEM:

**For DPH OPEM use only**

*Date request received:*

*Date reviewed:*

*Reviewed by:*

**Approved**    **Not Approved**

*Reason(s) for denial:*

*Notice of Decision Sent By: Name:*

*Date:*

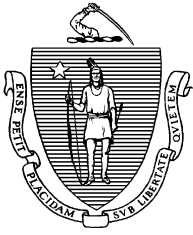
*Appeal Requested?*

Yes

No

*Date Appeal Request Received:*

*Summary of Appeal and Decision:*



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
250 Washington Street, Boston, MA 02108-4619

MAURA T. HEALEY  
Governor

KIMBERLEY DRISCOLL  
Lieutenant Governor

KATHLEEN E. WALSH  
Secretary

ROBERT GOLDSTEIN, MD, PhD  
Commissioner

Tel: 617-624-6000  
[www.mass.gov/dph](http://www.mass.gov/dph)

## Subcontractor Identification Package Checklist

The Subcontractor Identification Package Checklist should be used by Health and Medical Coordinating Coalition (HMCC) sponsoring organizations to ensure all required documents are submitted to MDPH OPEM for review and to communicate the process used to select the preferred subcontractor.

### Required Components of SubID Package

1. MDPH Purchase of Service Office Subcontractor Identification listing the proposed subcontractor AND signed by HMCC Program Manager
2. Unsigned contractual agreement with the proposed subcontractor, t that incorporates the following:
  - a) Scope of service detailing the work that will be performed and the project deliverables
  - b) A contract amount based on a MDPH OPEM approved sub-recipient budget
  - c) Contain a justification to demonstrate how the subcontract rate has been calculated
  - d) Contain language that states the subcontractor will be held accountable to the applicable [Commonwealth Terms and Conditions](#).
  - e) Contain language that states there will be an evaluation process to ensure the contracted work is being accomplished. This process should be standard across all subcontracts and must include a mid-point progress and end of contract final evaluation.
  - f) Contain language that states that employees, consultants, or individuals of a sub-contractor cannot charge more than 40 hours a week of their time to a grantee contract(s) or between multiple MDPH OPEM vendors
3. If the subcontract involves work being performed by an individual, a copy of the resume.
4. If sub-contractor has multiple engagements, they must also submit documentation showing they are capable of fulfilling the obligations of all sub-contracts.
5. For PHEP Planner and Coordinator positions, letter of endorsement from PHEP coalition.

**Procurement Process Used.** Subcontracts must be obtained through a competitive process and in compliance with sound business practices. Please refer to the [Massachusetts Inspector General's Chapter 30B Manual: Procuring Supplies, Services and Real Property](#) (Updated May 2023).

Master Service Agreement (i.e., state/city procurement vehicle used)

Sound Business Practice (<\$10k)

Written Quotes (\$10 – \$50k)

Request for Bid or Request for Proposal (>\$50k)

Other or 30B Exemption: Please explain below:

**COMMONWEALTH OF MASSACHUSETTS  
DEPARTMENT OF PUBLIC HEALTH**

FY	
Contract ID	

**SUBCONTRACTOR IDENTIFICATION LIST FOR NON-DIRECT CARE SERVICES**

Deliverables which are a primary and integral part of the total program but which are furnished to the program, under contract, by another provider.

**Vendor Name:**

**DPH Program Name:**

Submitted by: \_\_\_\_\_  
Provider/Vendor Authorized Signature

Date: \_\_\_\_\_ Phone: \_\_\_\_\_

\_\_\_\_\_  
Print Name

Approved by: \_\_\_\_\_  
DPH Program Manager

Date: \_\_\_\_\_ Phone: \_\_\_\_\_

\_\_\_\_\_  
Print Name

**INSTRUCTIONS:**

Providers/vendors must complete and submit to DPH at the time of **initial contract execution** AND when **subcontract dollars and/or vendors/providers are added or deleted**. (Including line item adjustments). This form must be signed by the DPH program representative to indicate program approval PRIOR TO the execution of said subcontract(s).

- Vendors are to complete this form each fiscal year when subcontracted \$ are budgeted.
- Vendors are to complete this form with any amendments.
- Identify the Subcontractor and Federal ID number along with \$ amounts and description of service provided in less than 200 words (Individuals are not recorded on this form)
- \$ identified as TBD will require status updates which POS will request quarterly

Subcontractor Name	FEIN	Subcontract Amount	Deliverable	TBD
		\$		<input type="checkbox"/>
		\$		<input type="checkbox"/>
		\$		<input type="checkbox"/>
		\$		<input type="checkbox"/>
		\$		<input type="checkbox"/>

Subcontractors must agree to the Terms and Conditions set forth in the supportive procurement, which is part of this contract. Subcontracts must be in writing, in accordance with Section 9 of the Commonwealth Terms and Conditions or the Commonwealth Terms and Conditions for Human and Social Services. Providers may use the standard subcontract template available through DPH contract managers. All subcontracts must be available for review by authorized agents of the Commonwealth. DPH may require the submission of any subcontract at any time during the contract period.

INSERT LETTERHEAD

**SAMPLE Letter of Endorsement from PHEP Coalition**

---

**TO:** [INSERT HMCC PROGRAM MANAGER NAME]

**FROM:** [INSERT COALITION CHAIRPERSON(S) NAME]

**SUBJECT:** [INSERT COALITION REGION/NAME] LETTER OF ENDORSEMENT FOR PHEP PLANNER/COORDINATOR

**DATE:** [INSERT DATE]

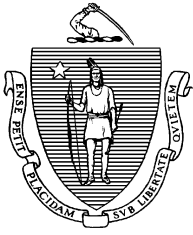
---

The [insert coalition region/name] is writing to confirm we endorse [insert name of PHEP Planner/Coordinator], who is [an employee of [name of employer] or an independent contractor], as the BP5 PHEP [Planner or Coordinator], responsible for working with the Coalition and Sponsoring Organization to complete the BP5 PHEP Deliverables and Scope of Work/Position Description, as submitted to MDPH OPEM.

This action was approved at a Coalition meeting held on [insert date of meeting where approval occurred]. A total of [\$ Insert amount of contract] in BP5 funding was allocated to support the work of the Coalition [Planner or Coordinator].

[Insert Signature]  
\_\_\_\_\_  
[Insert Chairperson Name]  
[Insert Chairperson Title]

[Insert Signature]  
\_\_\_\_\_  
[Insert Chairperson Name]  
[Insert Chairperson Title]



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
250 Washington Street, Boston, MA 02108-4619

Appendix E

MAURA T. HEALEY  
Governor

KIMBERLEY DRISCOLL  
Lieutenant Governor

KATHLEEN E. WALSH  
Secretary

ROBERT GOLDSTEIN, MD, PhD  
Commissioner

Tel: 617-624-6000  
[www.mass.gov/dph](http://www.mass.gov/dph)

**Policy for Use of Emergency Preparedness Funds  
To Attend Conferences and Trainings  
Budget Period 5**

Training and continuing education are an important part of building and maintaining emergency-ready public health departments and healthcare organizations. There is increased emphasis by funders on ensuring that funds are utilized efficiently and effectively to advance regional preparedness. Training must be purposefully designed to close operational gaps and sustain jurisdictionally required preparedness competencies, and to achieve the capabilities established by the Centers for Disease Control and Prevention (CDC) and the Administration for Strategic Preparedness and Response (ASPR).

This policy establishes the criteria for use of Emergency Preparedness funds distributed by DPH OPEM to support participation by eligible local public health or healthcare personnel in conferences and trainings. It is the intent of this policy to provide a process that supports necessary training and education and ensures that all conference and training activities funded with emergency preparedness funds relate to identified preparedness capabilities.

In Budget Period 5 (BP5), a Public Health Coalition may use up to 10% or \$46,000 of CDC Public Health Emergency Preparedness (PHEP) funds, whichever is less, to support eligible expenses related to training and conference registration and travel costs over the course of the budget period.

Funding for training should be clearly identified in the budget, and documentation maintained to identify all personnel who have used emergency preparedness funding to attend a training or conference.

**General Policy**

Health and Medical Coordinating Coalition (HMCC) Sponsoring Organizations must submit a Training and Conference Request/Notification Form to the DPH OPEM at [dphmcc@mass.gov](mailto:dphmcc@mass.gov) prior to the conduct of or attendance at a training and conference that is supported by PHEP, HPP, or state funds.

*Eligible Costs:*

Emergency preparedness funds may be used for full conference/training registration fees if:

1. The in-state conference sponsor has sought and received prior approval from DPH OPEM documenting that the curriculum is designed to close operational gaps and sustain jurisdictionally required preparedness competencies; and
2. The attendee spends at least 50% of his or her time at the conference/training in eligible emergency preparedness session, based on the total of all training/session time; and
3. The attendee can provide a copy of his or her continuing education credit form or some other documentation of attendance to the HMCC Sponsoring Organization, if requested; and
4. There is a current written policy on file with the HMCC Sponsoring Organization that governs selection of personnel to attend approved conferences/trainings that will be supported by emergency preparedness funds.

*Travel and Related Expenses:*

Attendees must comply with their employer's or HMCC Sponsoring Organization existing travel policy as it pertains to expenditures for travel, overnight accommodations, meals and incidentals. It is the responsibility of the individual traveler to determine which policy is applicable. If there is not an employer or HMCC Sponsoring Organization travel policy in place, GSA rates must be used. In no case is it allowable to reimburse attendees for more than the scheduled GSA rates.

<http://www.gsa.gov/portal/content/110007>

Emergency preparedness funds may be used for travel expenses if the criteria below are met:

1. Travel:
  - a. Air travel must be coach or equivalent lowest cost option; and
  - b. Travel to/from the airport must be the most economical and reasonable method available. Carpooling is encouraged. Mileage is reimbursable; and
  - c. Additional reasonable costs including public transportation, shuttle, or taxi to/from the airport from home/office/hotel, airport parking, and tolls will be reimbursable with receipts. Car rentals are not reimbursable; and
  - d. Additional costs, such as seat upgrades or change fees, are not reimbursable.
2. Accommodations:
  - a. The one-way travel distance to the conference/training is 60 miles or greater from the attendee's office; and
  - b. Overnight accommodations are eligible for reimbursement the evening before a full day (at least 7 hours) of conference/training sessions which include eligible emergency preparedness sessions; and
  - c. Overnight accommodations for the evening of the final day of an out-of-state conference are eligible for reimbursement when traveling by air and if the

- conference/training ends at or after 3 p.m. on that day (conference time zone) and there is no scheduled flight available after that time that lands before 12:00 midnight; and
- d. Overnight accommodations for the evening of the final day of an in-state conference or training are not eligible for reimbursement.
3. Meals and Incidentals:
- a. Reimbursements may not exceed GSA per diem rates; and
  - b. Meal reimbursement will not be provided for meals which were provided by the conference organizer at no cost to the registrant over and above the conference/training registration fee; and
  - c. Emergency preparedness funds may not be used to purchase alcohol.





## Request to attend a Training or Conference

### Sponsoring Organization/Region:

This form must be completed, signed, and submitted to the OPEM HMCC mailbox ([dphhmcc@mass.gov](mailto:dphhmcc@mass.gov)) by the HMCC Sponsoring Organization ***at least 30 days prior to*** the conduct of, or attendance at, any training/conference that is supported by PHEP, HPP, or state funds. Failure to submit the form prior to conducting, or attending a training or conference may result in restrictions on the use of federal or state emergency preparedness funding. Please refer to the *Policy for Use of Emergency Preparedness Funds to Attend Conferences and Trainings* in the OPEM Grants Management Manual for additional details. Please note funds cannot be used to pay for trainings if they are offered and available at no charge elsewhere.

Per federal grant requirements, all trainings and conferences need to address clearly identified gaps. As such, DPH OPEM conducted statewide training workshops to help identify broad statewide gaps that are applicable to all HMCC disciplines across the Commonwealth. The top 17 are listed below, and can be used to assist in the determination of appropriate training/conference hosting and attendance requests. If there are other gaps that have been identified by the requesting entity, please indicate them that below in the appropriate sections.

### Statewide Training Gaps – please check all that apply

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> After Action Review/Improvement Planning | <input type="checkbox"/> Effective Communications                   | <input type="checkbox"/> People with disabilities and others with access and functional needs |
| <input type="checkbox"/> Animals in Disaster                      | <input type="checkbox"/> Emerging Infectious Diseases               | <input type="checkbox"/> Personal Protective Equipment  |
| <input type="checkbox"/> Behavioral Health                        | <input type="checkbox"/> Incident Command System                    | <input type="checkbox"/> Volunteer-related  |
| <input type="checkbox"/> Continuity of Operations                 | <input type="checkbox"/> Language Needs                             | <input type="checkbox"/> WebEOC   |
| <input type="checkbox"/> Cross-discipline coordination            | <input type="checkbox"/> Making it Simple/Real World/Operationalize | <input type="checkbox"/> Workplace Violence/Mass Shooter                                      |
| <input type="checkbox"/> Demobilizing                             | <input type="checkbox"/> Media/PIO                                  |   |

Other: \_\_\_\_\_

### General Information:

Requesting Entity Name:	
Date Submitted:	
Form Submitted by:	
Submitter email:	
Capability(ies) associated with this training/conference. <i>Please choose more than one, if appropriate</i>	Select a PHEP Capability

	<b>Select an HPP Capability</b>
Outline objectives of training/conference:	
Please specify funding source: <i>Check all that apply</i>	<input type="checkbox"/> PHEP Funds <input type="checkbox"/> HPP Funds <input type="checkbox"/> MRC Funds <input type="checkbox"/> HMCC SO Funds
<b>Budget Description</b>	<b><u>Amount</u></b>
Total Cost	
Registration fees	
Travel fees (breakdown costs below)	
Transportation (airfare, mileage, parking, etc)	
Lodging	
Per Diem Costs	
Personnel costs	In-Kind
Other costs (please describe any cost not listed above, including but not limited to contractor time/costs)	
<b>Request to Attend Training (Please add agenda/flyer at time of request):</b>	
Name(s) and affiliation(s) of proposed attendees: (Please attach a separate list if more than 3 attendees.)	
Organization sponsoring the Training/Conference:	
Name of Training/Conference:	
Date of Training/Conference:	
Location of Training/Conference:	
Agenda/Flyer attached?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Approvals:**     *Please submit to your HMCC who will review and submit to OPEM for final approval.*

**HMCC SO:** \_\_\_\_\_     **Date:** \_\_\_\_\_     **Reviewed**

**OPEM:** \_\_\_\_\_     **Date:** \_\_\_\_\_     **Approved**    **Denied**



**Request to HOST a Training or Conference**

**Sponsoring Organization/Region:**

This form must be completed, signed, and submitted to the OPEM HMCC mailbox ([dphhmcc@mass.gov](mailto:dphhmcc@mass.gov)) by the HMCC Sponsoring Organization ***at least 30 days prior to*** the conduct of, or attendance at, any training/conference that is supported by PHEP, HPP, or state funds. Failure to submit the form prior to conducting, or attending a training or conference may result in restrictions on the use of federal or state emergency preparedness funding. Please refer to the *Policy for Use of Emergency Preparedness Funds to Attend Conferences and Trainings* in the OPEM Grants Management Manual for additional details. Please note funds cannot be used to pay for trainings if they are offered and available at no charge elsewhere.

Per federal grant requirements, all trainings and conferences need to address clearly identified gaps. As such, DPH OPEM conducted statewide training workshops to help identify broad statewide gaps that are applicable to all HMCC disciplines across the Commonwealth. The top 17 are listed below, and can be used to assist in the determination of appropriate training/conference hosting and attendance requests. If there are other gaps that have been identified by the requesting entity, please indicate them that below in the appropriate sections.

**Statewide Training Gaps – please check all that apply**

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> After Action Review/Improvement Planning | <input type="checkbox"/> Effective Communications                   | <input type="checkbox"/> People with disabilities and others with access and functional needs |
| <input type="checkbox"/> Animals in Disaster                      | <input type="checkbox"/> Emerging Infectious Diseases               | <input type="checkbox"/> Personal Protective Equipment  |
| <input type="checkbox"/> Behavioral Health                        | <input type="checkbox"/> Incident Command System                    | <input type="checkbox"/> Volunteer-related  |
| <input type="checkbox"/> Continuity of Operations                 | <input type="checkbox"/> Language Needs                             | <input type="checkbox"/> WebEOC   |
| <input type="checkbox"/> Cross-discipline coordination            | <input type="checkbox"/> Making it Simple/Real World/Operationalize | <input type="checkbox"/> Workplace Violence/Mass Shooter                                      |
| <input type="checkbox"/> Demobilizing                             | <input type="checkbox"/> Media/PIO                                  |   |

Other: \_\_\_\_\_

**General Information:**

Requesting Entity Name:	
Date Submitted:	
Form Submitted by:	
Submitter email:	
Capability(ies) associated with this training/conference. Please choose more than one, if appropriate	<b>Select a PHEP Capability</b>

	<b>Select an HPP Capability</b>
Outline objectives of training/conference:	
Please specify funding source: <i>Check all that apply</i>	PHEP      HPP      MRC      HMCC
<b>Budget Description</b>	<b>Amount:</b>
TOTAL Costs	
Speaker fees/honoraria	
Venue Costs (breakdown costs below)	
Rental space	
Food	
AV equipment	
Other	
Personnel Costs	In-Kind
Other costs (please describe, ie any cost not listed above, including but not limited to contractor time/cost)	
Will a subcontract be required?	<input type="checkbox"/> Yes <input type="checkbox"/> No If required, is the subcontractor ID packet attached? <input type="checkbox"/> Yes <input type="checkbox"/> No

**Request to host Training/Conference (Please add agenda/flyer at time of request):**

Name of Training/Conference:	
Date of Training/Conference:	
Organization conducting the Training/Conference:	
Name of Instructor:	
Location of Training/Conference:	
Number of people to be trained or will attend:	

**Approvals:**

*Please submit to your HMCC who will review and submit to OPEM for final approval.*

**HMCC SO:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **Reviewed**

**OPEM:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **Approved**  **Denied**



## Exercise Request Form

### Sponsoring Organization:

### Region:

This form must be completed and submitted to the Regional Hospital/Public Health Coordinator and to the MDPH HMCC mailbox ([dphhmcc@mass.gov](mailto:dphhmcc@mass.gov)) prior to the initial planning meeting for all exercises that will be supported wholly or in part with PHEP, HPP or state emergency preparedness (EP) funds received from the Office of Preparedness and Emergency Management.

In addition, this form must be completed and submitted when DPH resources such as the HHAN<sup>1</sup>, WebEOC or the OPEM Duty Officers will be requested to be utilized during the exercise, regardless of whether the exercise is funded with EP dollars. Failure to submit the form prior to the initial planning meeting may result in restrictions on the use of federal or state emergency preparedness funding or availability of DPH resources.

### General Information:

Requesting Entity Name:	
Date Form Submitted:	
Form Submitted by:	
Submitter email:	
Name of Exercise:	
Date of Exercise:	
Location of Exercise:	
Entity Sponsoring the Exercise:	
Type of Exercise:	<input type="checkbox"/> Workshop <input type="checkbox"/> Seminar <input type="checkbox"/> Drill <input type="checkbox"/> Tabletop <input type="checkbox"/> Functional <input type="checkbox"/> Full-scale
Focus area of Exercise:	<input type="checkbox"/> Response <input type="checkbox"/> Recovery <input type="checkbox"/> Other
Scenario Type: (e.g. Pandemic, Biological, Natural Hazard etc.):	

<sup>1</sup> Please note that this does not apply to the EDS and HHAN drills that are conducted as part of the CDC PHEP annual deliverables.



**Additional Exercise Information:**

Please Specify Budget source:	<input type="checkbox"/> Coalition Budget (PHEP funds) Hospital Budget (HPP funds) MRC Budget (State funds) HMCC Budget (PHEP/HPP funds)
Is this funding part of a pre-approved budget by DPH OPEM?	<input type="checkbox"/> Yes <input type="checkbox"/> No

<b>Budget Detail (Breakdown of costs and what budget(s) will be used):</b>	<b>Amounts</b>

Will DPH resources (including staff time to attend or participate) be requested for use during this exercise?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What DPH resources are being requested?	WebEOC    HHAN <sup>2</sup> OPEM Duty Officer OPEM or other DPH Bureau Staff Time Other _____
Name of Person(s) Writing After Action Report:	
Email address of Person Writing After Action Report:	

<sup>2</sup> If the HHAN will be utilized, pre-scripted messages must be submitted at least one week prior to exercise.

**Please write out a brief (1 to 2 paragraph) narrative of the exercise, including the objectives and the scenario.**

---

**Approvals:**

*Please submit to your HMCC who will review and submit to OPEM for final approval.*

**HMCC SO:**

**Date:**

**Reviewed**

**OPEM:**

**Date:**

**Approved  Denied**

---





**Recipient Information**

**1. Recipient Name**

PUBLIC HEALTH, MASSACHUSETTS  
DEPARTMENT OF  
250 Washington St  
Boston, MA 02108-4603  
[NO DATA]

**2. Congressional District of Recipient**

08

**3. Payment System Identifier (ID)**

1046002284B7

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

046002284

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

878298900

**6. Recipient's Unique Entity Identifier (UEI)**

DLKMR1QVDX34

**7. Project Director or Principal Investigator**

Mr. Kerin Milesky  
Principal Investigator  
kerin.milesky@state.ma.us  
617-994-9828

**8. Authorized Official**

Ms. Eileen M Sullivan  
Chief Operating Officer  
eileen.m.sullivan@state.ma.us  
617-624-5257

**Federal Agency Information**

CDC Office of Financial Resources

**9. Awarding Agency Contact Information**

Ms. Kimberly Champion  
Grants Management Specialist  
qrf9@cdc.gov  
(404) 498-4229

**10. Program Official Contact Information**

Tracy Lewis  
ils7@cdc.gov  
(404) 639-3901

**Federal Award Information**

**11. Award Number**

5 NU90TP922006-05-00

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

NU90TP922006

**13. Statutory Authority**

319C-1 of the Public Health Service (PHS) Act (47 USC 247d-3a)

**14. Federal Award Project Title**

Massachusetts Public Health Emergency Preparedness Program

**15. Assistance Listing Number**

93.069

**16. Assistance Listing Program Title**

Public Health Emergency Preparedness

**17. Award Action Type**

Non-Competing Continuation

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

No

**Summary Federal Award Financial Information**

<b>19. Budget Period Start Date</b>	07/01/2023	<b>- End Date</b>	06/30/2024
<b>20. Total Amount of Federal Funds Obligated by this Action</b>			\$13,927,467.00
20a. Direct Cost Amount			\$13,476,814.00
20b. Indirect Cost Amount			\$450,653.00
<b>21. Authorized Carryover</b>			\$0.00
<b>22. Offset</b>			\$0.00
<b>23. Total Amount of Federal Funds Obligated this budget period</b>			\$0.00
<b>24. Total Approved Cost Sharing or Matching, where applicable</b>			\$1,392,747.00
<b>25. Total Federal and Non-Federal Approved this Budget Period</b>			\$15,320,214.00
<b>26. Period of Performance Start Date</b>	07/01/2019	<b>- End Date</b>	06/30/2024
<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance</b>			\$73,879,647.00

**28. Authorized Treatment of Program Income**

MATCHING

**29. Grants Management Officer - Signature**

Mrs. Erica Stewart  
Team Lead, Grants Management Officer

**30. Remarks**



DEPARTMENT OF HEALTH AND HUMAN SERVICES

Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU90TP922006-05-00

FAIN# NU90TP922006

Federal Award Date: 05/20/2023

Recipient Information
<b>Recipient Name</b> PUBLIC HEALTH, MASSACHUSETTS DEPARTMENT OF 250 Washington St Boston, MA 02108-4603 [NO DATA]
<b>Congressional District of Recipient</b> 08
<b>Payment Account Number and Type</b> 1046002284B7
<b>Employer Identification Number (EIN) Data</b> 046002284
<b>Universal Numbering System (DUNS)</b> 878298900
<b>Recipient's Unique Entity Identifier (UEI)</b> DLKMR1QVDX34

<b>31. Assistance Type</b> Cooperative Agreement
<b>32. Type of Award</b> Other

33. Approved Budget (Excludes Direct Assistance)	
I. Financial Assistance from the Federal Awarding Agency Only	
II. Total project costs including grant funds and all other financial participation	
a. Salaries and Wages	\$4,418,170.00
b. Fringe Benefits	\$1,798,421.00
c. Total Personnel Costs	\$6,216,591.00
d. Equipment	\$100,000.00
e. Supplies	\$264,259.00
f. Travel	\$23,466.00
g. Construction	\$0.00
h. Other	\$2,361,479.00
i. Contractual	\$4,511,019.00
<b>j. TOTAL DIRECT COSTS</b>	<b>\$13,476,814.00</b>
<b>k. INDIRECT COSTS</b>	<b>\$450,653.00</b>
<b>l. TOTAL APPROVED BUDGET</b>	<b>\$13,927,467.00</b>
<b>m. Federal Share</b>	<b>\$13,927,467.00</b>
<b>n. Non-Federal Share</b>	<b>\$1,392,747.00</b>

34. Accounting Classification Codes

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
1-921022U	19NU90TP922006	TP	41.51	93.069	\$0.00	75-21-0956
1-921027R	19NU90TP922006	TP	41.51	93.069	\$0.00	75-21-0956
1-9213367	19NU90TP922006	TP	41.51	93.069	\$0.00	75-21-0956
2-921022U	19NU90TP922006	TP	41.51	93.069	\$0.00	75-22-0956
2-921027R	19NU90TP922006	TP	41.51	93.069	\$0.00	75-22-0956
2-9213367	19NU90TP922006	TP	41.51	93.069	\$0.00	75-22-0956
3-921022U	19NU90TP922006	TP	41.51	93.069	\$1,242,166.00	75-23-0956
3-921027R	19NU90TP922006	TP	41.51	93.069	\$1,919,847.00	75-23-0956
3-9213367	19NU90TP922006	TP	41.51	93.069	\$10,765,454.00	75-23-0956



**DEPARTMENT OF HEALTH AND HUMAN SERVICES** Notice of Award

Centers for Disease Control and Prevention

Award# 5 NU90TP922006-05-00

FAIN# NU90TP922006

Federal Award Date: 05/20/2023

**Direct Assistance**

<b>BUDGET CATEGORIES</b>	<b>PREVIOUS AMOUNT (A)</b>	<b>AMOUNT THIS ACTION (B)</b>	<b>TOTAL (A + B)</b>
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

# AWARD ATTACHMENTS

PUBLIC HEALTH, MASSACHUSETTS DEPARTMENT OF

5 NU90TP922006-05-00

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1. Terms and Conditions

## AWARD INFORMATION

**Incorporation:** In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Non-research awards at <https://www.cdc.gov/grants/federal-regulations-policies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **TP19-1901**, entitled **Public Health Emergency Preparedness (PHEP) Cooperative Agreement**, and application dated April 18, 2023, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

**Approved Funding:** Funding in the amount of **\$13,927,467** is approved for the Year 05 budget period, which is July 1, 2023 through June 30, 2024. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

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

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

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

NOFO Component	Amount
Base	\$ 10,765,454
CRI	\$ 1,919,847
Lab	\$ 1,242,166

The requirements and term and condition of “Use of CDC funding for the Procurement of PPE and other Essential Medical Supplies/Procurement of “Covered Materials” have been rescinded. The term, which outlined two situations in which CDC recipients could use CDC award funds to procure Covered Materials *without* prior approval, is no longer in effect. Moving forward, recipients will comply with standard procurement requirements for these covered materials.

**Financial Assistance Mechanism:** Cooperative Agreement

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

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

Listed in NOFO-Recipients must describe how CDC could help them overcome challenges to complete activities in the work plan and achieving period of performance outcomes

-Provide ongoing guidance, programmatic support, training, and technical assistance related to public health emergency preparedness.

-Provide ongoing guidance, programmatic support, training, and technical assistance related to activities outlined in this funding opportunity. Technical assistance resources include PHEP supplemental guidance and resources, funding application instructions, quarterly spend plan templates, and other resources as needed.

-Facilitate communication among recipients to advance the sharing of expertise on preparedness and response activities.

-Facilitate technical assistance through CDC's online technical assistance portal.

**Budget Revision Requirement:** By August 15, 2023 the recipient must submit a grant note in GrantSolutions with the requested information. 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 CDC Staff Contacts section of this notice before the due date.

**Personnel:** Please provide the names of all TBD staff or adjust the performance period to align with a more accurate start date to avoid an unobligated balance. If the position is vacant for more than 3 months please redirect those unspent funds to other cost categories to avoid an unobligated balance.

**Travel:** Please provide the names of staff or position traveling and the locations.

**Technical Review Response Requirement:** CDC program staff will distribute TR reports to recipients via GMM Grant Notes. The recipient must submit a response to the weakness(es), and recommendations identified in the technical review as a grant note in GrantSolutions no later than August 15, 2023. (Note: The recipient's response should be reflective only of the weaknesses identified, therefore, resubmission of the entire application is not required.) Failure to submit the required information by the due date provided by the program staff will cause delay in programmatic progress and will adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact Project Officer identified in the CDC Staff Contacts section of this notice before the due date.

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

- Carryover of unobligated balances from budget period 04 are allowed until the end of the current performance period 06/30/2024. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

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

Cost sharing or matching alternative: Under this alternative, program income is used to finance

some or the entire non-federal share of the project/program.

Note: The disposition of program income must have written prior approval from the GMO.

## **FUNDING RESTRICTIONS AND LIMITATIONS**

### **Notice of Funding Opportunity (NOFO) Restrictions:**

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the recipient.
- 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 <https://www.cdc.gov/grants/additional-requirements/ar-35.html>
- 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.
- Recipients may supplement but not supplant existing state or federal funds for activities described in the budget.
- Payment or reimbursement of backfilling costs for staff is not allowed.
- None of the funds awarded to these programs may be used to pay the salary of an individual at a rate in excess of Executive Level II or \$199,300 per year.
- Funds may not be used to purchase or support (feed) animals for labs, including mice. Funds may not be used to purchase a house or other living quarter for those under quarantine. Rental may be allowed with approval from the CDC OGS.

### **Lobbying**

Other than for normal and recognized executive-legislative relationships, PHEP funds may not 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 requirements (AR 12) for detail guidance on the prohibition and additional guidance on lobbying for CDC recipients [https://www.cdc.gov/grants/documents/antilobbying\\_restrictions\\_for\\_cdc\\_grantees\\_july\\_2012.pdf](https://www.cdc.gov/grants/documents/antilobbying_restrictions_for_cdc_grantees_july_2012.pdf)

### **Construction and Major Renovations**

- Recipients may not use funds for construction or major renovations.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly justified in the budget.

### **Passenger Road Vehicles**

- Funds cannot be used to purchase over-the road passenger vehicles.
- Funds cannot be used to purchase vehicles to be used as means of transportation for carrying people or goods, such as passenger cars or trucks and electrical or gas driven motorized carts.
- Recipients can (with prior approval) use funds to lease vehicles to be used as means of transportation for carrying people or goods, e.g., passenger cars or trucks and electrical or gas- driven motorized carts during times of need.
- Additionally, PHEP grant funds can (with prior approval) be used to make transportation agreements with commercial carriers for movement of materials, supplies and equipment. There should be a written process for initiating transportation agreements (e.g., contracts, memoranda of understanding, formal written agreements, and/or other letters of agreement). Transportation agreements should include, at a minimum:
  - Type of vendor
  - Number and type of vehicles, including vehicle load capacity and configuration
  - Number and type of drivers, including certification of drivers
  - Number and type of support personnel
  - Vendor's response time
  - Vendor's ability to maintain cold chain, if necessary to the incident
  - This relationship may be demonstrated by a signed transportation agreement or documentation of transportation planning meeting with the designated vendor. All documentation should be available to the CDC project officer for review if requested.

### **Transportation of Medical Material**

- Funds can (with prior approval) be used to procure leased or rental vehicles for movement of materials, supplies and equipment.
- Recipients can (with prior approval) use funds to purchase material-handling equipment (MHE) such as industrial or warehouse-use trucks to move materials, such as forklifts, lift trucks, turret trucks, etc. Vehicles must be of a type not licensed to travel on public roads.
- Recipients may purchase basic (non-motorized) trailers with prior approval from the CDC OGS.

### **Procurement of Food and Clothing**

- Funds may not be used to purchase clothing such as jeans, cargo pants, polo shirts,



jumpsuits, sweatshirts, or T-shirts. Purchase of vests to be worn during exercises or responses may be allowed.

- Generally, funds may not be used to purchase food.

## **Vaccines**

- PHEP recipients can, with prior CDC approval, use funds to purchase caches of antibiotics for use by public health responders and their households to ensure the health and safety of the public health workforce during an emergency response, or an exercise to test response plans. Funds may not be used to supplant other funding intended to achieve this objective.
- PHEP recipients can, with prior CDC approval, use funds to purchase caches of vaccines for public health responders and their households to ensure the health and safety of the public health workforce.
- PHEP recipients can, with prior CDC approval, use funds to purchase caches of vaccines for select critical workforce groups to ensure their health and safety during an exercise testing response plans.
  - Recipients must document in their submitted exercise plans the use of vaccines for select critical workforce personnel before CDC will approve the vaccine purchase.
- Recipients may not use PHEP funds to supplant other funding intended to achieve these objectives.
- Recipients of PHEP-funded vaccines (within the context of the exercise) may include:
  - Persons who meet the criteria in the CDC-Advisory Committee on Immunization Practices (CDC/ACIP) recommendations [www.cdc.gov/vaccines/acip/index.html](http://www.cdc.gov/vaccines/acip/index.html) for who should receive vaccine; and
  - Persons who are not eligible to receive the vaccine through other entitlement programs such as Medicare, Medicaid, or the Vaccines for Children (VFC) program.
    - VFC-eligible children or Medicare beneficiaries may participate in the exercise; however, they should be vaccinated with vaccine purchased from the appropriate funding source.
- PHEP funds may not be used to purchase vaccines for seasonal influenza mass vaccination clinics or other routine vaccinations covered by ACIP schedules.
- PHEP funds may not be used to purchase influenza vaccines for the general public.

Recipients may not use funds for clinical care except as allowed by law. For the purposes of this NOFO, clinical care is defined as "directly managing the medical care and treatment of individual patients." PHEP-funded staff may administer MCMs such as antibiotics or vaccines as a public health intervention in the context of an emergency response or an exercise to test response plans. CDC does not consider this clinical care since it is not specific to one individual patient.

## **Laboratory Supplies**

Instruments, reagents and supplies for the following are not generally purchased with PHEP funding:

- Instruments, reagents and supplies for testing seasonal influenza.

- Instruments, reagents and supplies for testing rabies.
- Instruments, reagents and supplies for routine food testing (surveillance).
- Instruments, reagents and supplies for testing vaccine preventable diseases (e.g. measles, mumps, etc.)
- Instruments, reagents and supplies for routine testing of vector-borne illnesses (both clinical and vector surveillance).
- Routine drug screening of laboratory staff; and • Influenza vaccines (for the general public).

Because recipients receive substantial assistance from CDC through other programs, recipients line items are funded under the appropriate program

**Indirect Costs:**

Indirect costs are approved based on the negotiated indirect cost rate agreement dated October 13, 2022, which calculates indirect costs as follows, a **Predetermined** is approved at a rate of **10.20%** of the base, which includes, **direct salaries and wages including vacation, holiday, sick pay and other paid absences excluding all other fringe benefits**. The effective dates of this indirect cost rate are from **July 1, 2022 to June 30, 2024**.

**Matching Funds Requirement:** The required level of non-federal participation for **PHEP \$1,392,747**.

Matching is generally calculated on the basis of the federal award amount and is comprised of recipient contributions proposed to support anticipated costs of the project during a specific budget period (confirmation of the existence of funding is supplied by the recipient via their Federal Financial Report). The recipient must be able to account separately for stewardship of the federal funding and for any required matching; it is subject to monitoring, oversight, and audit. The recipient may not use matching expenditures to count toward any Maintaining State Funding requirement.

When a recipient requests a carryover of unobligated funds from prior year(s), matching funds equal to the new requirement must be on record in the CDC grant file, or the recipient must provide evidence with the carryover request.

**Maintenance of Effort (MOE) Requirement:** MOE represents an applicant/recipient historical level of contributions related to federal programmatic activities which have been made prior to the receipt of federal funds “expenditures (money spent).” MOE is used as an indicator of non-federal support for public health before the infusion of federal funds. These expenditures are calculated by the recipient without reference to any federal funding that also may have contributed to such programmatic activities in the past. Recipients must stipulate the total dollar amount in their grant applications. Recipients must be able to account for MOE separately from accounting for federal funds and separately from accounting for any matching funds requirement; this accounting is subject to ongoing monitoring, oversight, and audit. MOE may not include any matching funds requirement.

**REPORTING REQUIREMENTS**

**Required Disclosures for Federal Awardee Performance and Integrity Information System**

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

CDC, Office of Grants Services  
**Kimberly Champion**, Grants Management Officer/Specialist  
Centers for Disease Control and Prevention  
2939 Flowers Road  
Atlanta GA 30341  
Email: [qrf9@cdc.gov](mailto:qrf9@cdc.gov) (Include "Mandatory Grant Disclosures" in subject line)

AND

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

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

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

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

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

**PAYMENT INFORMATION**

**Payment Management System Subaccount:** Funds awarded in support of approved activities have been obligated in a subaccount in the PMS, herein identified as the "P Account". Funds must be used in support of approved activities in the NOFO and the approved application.

The grant document number identified beginning on the bottom of Page 2 of the Notice of Award must be known in order to draw down funds.

## PROGRAM OR FUNDING SPECIFIC CLOSEOUT REQUIREMENTS

The final programmatic report format required is the following.

**Final Performance Progress and Evaluation Report:** This report should include the information specified in the NOFO and is submitted 90 days following the end of the period of performance via [www.grantsolutions.gov](http://www.grantsolutions.gov). At a minimum, the report will include the following:

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

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

Electronic versions of the form can be downloaded at:

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

**Equipment and Supplies - Tangible Personal Property Report (SF-428):** A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. Electronic versions of the forms can be downloaded by visiting: <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>

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

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

Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government.

Additional guidance may be provided by the GMS and found at:

<https://www.cdc.gov/grants/already-have-grant/index.html>.



Recipient Information

1. Recipient Name

PUBLIC HEALTH, MASSACHUSETTS
DEPARTMENT OF
250 WASHINGTON ST
BOSTON, MA 02108-4603
[NO DATA]

2. Congressional District of Recipient
08

3. Payment System Identifier (ID)
1046002284B7

4. Employer Identification Number (EIN)
046002284

5. Data Universal Numbering System (DUNS)
878298900

6. Recipient's Unique Entity Identifier (UEI)
DLKMR1QVDX34

7. Project Director or Principal Investigator

Mr. Kerin Milesky
Principal Investigator
kerin.milesky@state.ma.us
617-994-9828

8. Authorized Official

Ms. Eileen M Sullivan
Chief Operating Officer
eileen.m.sullivan@mass.gov
617-624-5257

Federal Agency Information

ASPR Acquisition Management Contracts and Grants

9. Awarding Agency Contact Information

Nancy Brown
GMO
Nancy.Brown@Hhs.Gov
202-701-5419

10. Program Official Contact Information

Ms. Angela Krutsinger
Region VII - Field Project Officer
Assistant Secretary Preparedness and Response
angela.krutsinger@hhs.gov
816-426-3290

Federal Award Information

11. Award Number

5 U3REP190579-05-00

12. Unique Federal Award Identification Number (FAIN)

U3REP190579

13. Statutory Authority

Pub. L. 109-148 119 Stat. 2680, 2786 (2005)

14. Federal Award Project Title

Massachusetts Health Emergency Preparedness program

15. Assistance Listing Number

93.889

16. Assistance Listing Program Title

National Bioterrorism Hospital Preparedness Program

17. Award Action Type

Non-Competing Continuation

18. Is the Award R&D?

No

Summary Federal Award Financial Information

Table with 2 columns: Item Number and Amount. Includes rows for Budget Period Start Date (07/01/2023 - End Date 06/30/2024), Total Amount of Federal Funds Obligated by this Action (\$4,094,246.00), Total Federal and Non-Federal Approved this Budget Period (\$4,094,246.00), and Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance (\$25,295,038.00).

28. Authorized Treatment of Program Income

ADDITIONAL COSTS

29. Grants Management Officer - Signature

Virginia Simmons
Chief Grants Management Officer

30. Remarks

This amendment approves Year 5 Federal Funding in the amount of \$4,094,246.00. Please read all Special/General Administrative Conditions below.



<b>Recipient Information</b>
<b>Recipient Name</b> PUBLIC HEALTH, MASSACHUSETTS DEPARTMENT OF 250 WASHINGTON ST BOSTON, MA 02108-4603 [NO DATA]
<b>Congressional District of Recipient</b> 08
<b>Payment Account Number and Type</b> 1046002284B7
<b>Employer Identification Number (EIN) Data</b> 046002284
<b>Universal Numbering System (DUNS)</b> 878298900
<b>Recipient's Unique Entity Identifier (UEI)</b> DLKMR1QVDX34
<b>31. Assistance Type</b> Formula Grant
<b>32. Type of Award</b> Other

<b>33. Approved Budget</b> (Excludes Direct Assistance)	
I. Financial Assistance from the Federal Awarding Agency Only	
II. Total project costs including grant funds and all other financial participation	
a. Salaries and Wages	\$0.00
b. Fringe Benefits	\$0.00
c. Total Personnel Costs	\$0.00
d. Equipment	\$0.00
e. Supplies	\$0.00
f. Travel	\$0.00
g. Construction	\$0.00
h. Other	\$4,094,246.00
i. Contractual	\$0.00
<b>j. TOTAL DIRECT COSTS</b>	<b>\$4,094,246.00</b>
<b>k. INDIRECT COSTS</b>	<b>\$0.00</b>
<b>l. TOTAL APPROVED BUDGET</b>	<b>\$4,094,246.00</b>
<b>m. Federal Share</b>	<b>\$4,094,246.00</b>
<b>n. Non-Federal Share</b>	<b>\$0.00</b>

<b>34. Accounting Classification Codes</b>						
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
3-199TWQZ	U3REP0579E	HOS07	41.51	93.889	\$4,094,246.00	75-23-0140



**DEPARTMENT OF HEALTH AND HUMAN SERVICES** Notice of Award

Assistant Secretary for Preparedness & Response

Award# 5 U3REP190579-05-00

FAIN# U3REP190579

Federal Award Date: 06/29/2023

**35. Terms And Conditions**

**Special Award Conditions**

1. Please provide a revised budget/budget narrative to reflect the federal awarded amount of \$4,094,246.00 within 30 days of receipt of this Notice of Award.

# AWARD ATTACHMENTS

PUBLIC HEALTH, MASSACHUSETTS DEPARTMENT OF

5 U3REP190579-05-00

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1. General Administrative Conditions



### Administrative Award Conditions-

**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. To prevent disallowance of cost, the recipient is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization’s established travel policies and procedures. The recipients’ established travel policies and procedures must meet the requirements of 45 CFR Part 75.474 and 2 CFR Part 200.475.

### TRAVEL- Annual Expenditure Report

All recipients of the HPP Cooperative Agreement must submit an annual expenditure report of *actual expenses* for all Travel charged to the HPP Award within **BP5** with the Annual FFR SF-425 Report Due 90 Days after the end of each budget period (12months). Please reference travel template for guidance in Figure 1.

In addition, recipients are required to maintain travel policies and procedures for all employees and contractors charged to the award in their agency standard policies and procedures. Policies and procedures must comply with Federal agency Travel and per-diem requirements. State related policies and procedures must be clearly identified in the policies and procedures. ASPR staff (Grants Management and Federal Project Officers) may request access to such policies and procedures in relation to the HPP award and at any time within the period of performance of award.

**Figure 1.**

**Travel - Federal funds requested for travel are for staff travel only (travel for consultants is listed in consultant category). Travel for other participants, committee members, etc. should be listed under the cost category “other”. Applicants are to use the lowest available commercial fares for coach or equivalent accommodations. Note that Applicants will be expected to follow federal travel policies found at <http://www.gsa.gov>.**

**Table 3: Travel**

Purpose of Travel	Location	Item	Rate	Federal Cost	Match
Attend awardee meeting	Washington, DC	Air Fare	\$350 X 4 people	\$1,400	
		Per Diem	\$71/day X 4 days X 4 people	\$1,136	
		Airport	\$10/day X 4 days	\$40	
		Parking	\$28/RT X 4 people	\$112	

Purpose of Travel	Location	Item	Rate	Federal Cost	Match
		Airport Shuttle	\$211/night X 3 nights X 4 people	\$2532	
		Hotel	<b>Subtotal</b>	<b>\$4,120</b>	
Local travel	Various	POV	.44/mile X 2,000 miles/year	\$880	
			TOTAL	\$5,000	

**NARRATIVE JUSTIFICATION:** Explain the purpose for all travel and how costs were determined. List any required travel, funds for local travel that are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

**Request for extension of liquidation period:**

All requests for extension of liquidation periods must be submitted at least 30 days before the liquidation period begins (90 days after the budget period ends 6/30/24). Liquidation extensions are generally extended up to an additional 90 days. Any additional extensions will be considered on a case by case basis.

Extensions will not be allowed for the last 12 months of the budget/period of performance.

**Cost Sharing or matching alternatives:** Under this alternative, program income is used to finance some or the entire non-Federal share of the project/program. **Program income generated under this grant or cooperative agreement will be used in accordance with the cost sharing or matching alternative:**

Note: The disposition of program income must have written approval from the GMO.

**General Terms and Conditions**

**Standard Terms and Conditions of award:**

This grant is issued under the authority of Public Health Service Act, Section 319C-2 (Title 42 United States Code (U.S.C) Section 247d-3b) as amended. Section 311 of the PHS Act (Title 42 U.S.C Section 243), subject to available funding and other requirements and limitations. By receiving funds under this award, the recipient assures that it will carry out the project/program as authorized, adhere to requirements laid out in the funding opportunity announcement and will comply with the terms and conditions and other requirements of this award. The recipient must adhere to all applicable federal statutes, including appropriations act requirements including Title VI in Division G of the “Consolidated Appropriation Act, 2015”.

The terms and conditions of this Notice of Award and other requirements have the following order of precedence if there is any conflict in what they require:

- (1) Public Health Service Act, Section 311 (42 U.S.C. 243).
- (2) terms and conditions of the award
- (3) 45 CFR Part 75;
- (4) HHS Grants Policy Statement.

This grant is subject to the applicable requirements of the Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations under Title 45 Code of Federal Regulations, Part 75. Any applicable statutory or regulatory requirements, including 45 CFR Part 75 and 2 CFR Part 200, directly apply to this award apart from any coverage in the HHS GPS. The terms and conditions of this Notice of Award and other requirements have the following order of precedence if there is any conflict in what they require: (1) Public Health Service Act, Section 311 (42 U.S.C. 243). (2) terms and conditions of the award (3) CFR Part 75; (4) HHS Grants Policy Statement.

Requests that require prior approval from the awarding office must be submitted in writing to the Grants Management Specialist via GrantSolutions. Only responses signed by the Grants Management Specialist or Grants Management Officer are to be considered valid. Grantees who take action on the basis of responses from other ASPR officials do so at their own risk. Such responses will not be considered binding by or upon ASPR.

### **Subaward Equal Treatment**

The recipient must comply with 45 CFR Part 75 and 2 CFR Part 200, including the provision that no State or local government recipient nor any intermediate organization with the same duties as a governmental entity shall, in the selection of service providers, discriminate for or against an organization’s religious character or affiliation.

### **Public Policy Requirements**

All public policy requirements included in “Public Policy Requirements” in Part I and Part II (pages II-2 through II-24) of the HHS GPS apply as appropriate. See FOA#: EP-U3R-19-001 under which this award was issued for more information.

- 1) **As required by the Federal Funding Accountability and Transparency Act of 2006**, this new award is subject to the subaward and executive compensation reporting

requirement of 2 CFR Part 170. Although the full text of this regulation is attached, you may access the language online at <https://www.fsrs.gov/>.

## Reporting Subawards and Executive Compensation

### a. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, 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 subaward to an entity (see definitions in paragraph e. of this award term).

2. Where and when to report. i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>. ii. For subaward 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.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify b. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if-

i. the total Federal funding authorized to date under this award is \$25,000 or more;

ii. in the preceding fiscal year, you received

(A) 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 170.320 (and subawards); and

(B) \$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 170.320 (and subawards); and

iii. 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. 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>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile, you must access the System for Award Management (SAM) at: <https://www.sam.gov/portal/public/SAM/>.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if-

i. in the subrecipient's preceding fiscal year, the subrecipient received-

(A) 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 170.320 (and subawards); and

(B) \$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 subawards); and ii. The public does not have access to information about the compensation of the executives through 3 periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (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>.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and

31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

- ii. A foreign public entity;
  - iii. A domestic or foreign nonprofit organization;
  - iv. A domestic or foreign for-profit organization;
  - v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
2. Executive means officers, managing partners, or any other employees in management positions.
3. Subaward:
- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ll.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
  - iii. A subaward may be provided through any legal agreement, including an agreement that you or a 4 subrecipient considers a contract.
4. Subrecipient means an entity that: i. Receives a subaward from you (the recipient) under this award; and ii. Is accountable to you for the use of the Federal funds provided by the subaward.
5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- i. Salary and bonus.
  - ii. 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.
  - iii. 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.
  - iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. 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.

2) **Mandatory disclosures.**

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in §200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180 and 31 U.S.C. 3321).

3) **English Language**

All Federal financial assistance announcements and Federal award information must be in the English language. Applications must be submitted in the English language and must be in the terms of U.S. dollars. If the Federal awarding agency receives applications in another currency, the Federal awarding agency will evaluate the application by converting the foreign currency to United States currency using the date specified for receipt of the application.

Non-Federal entities may translate the Federal award and other documents into another language. In the event of inconsistency between any terms and conditions of the Federal award and any translation into another language, the English language meaning will control. Where a significant portion of the non-Federal entity's employees who are working on the Federal award are not fluent in English, the non-Federal entity must provide the Federal award in English and the language(s) with which employees are more familiar.

4) As the recipient organization, you acknowledge acceptance of the grant terms and conditions by drawing down or otherwise obtaining funds from the Payment Management System. In doing so, your organization must ensure that you exercise prudent stewardship over Federal funds and that all costs are allowable, allocable and reasonable.

6) This grant is subject to the terms and conditions as stated in Section III (Terms and Conditions) of the NoA. Refer to the "order of precedence" that explains the laws and regulations that govern the award.

7) **Legal and Financial Responsibility**-The recipient organization is legally and financially responsible for all aspects of this grant, including funds provided to sub-recipients.

8) **Executive Level II Salary Cap For FY 2023**, the Consolidated Appropriations Act, 2023 (Public Law 117-328) signed into law on January 1, 2023, restricts the amount of direct salary to Executive Level II of the Federal Executive Pay scale. The Executive

Level II salary is \$212,100 annually. Funds made available by this award shall not be used by the grantee or subrecipient to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of current Executive Level II compensation requirements.

**9) Gun Control**

None of the funds made available through this award may be used, in whole or in part, to advocate or promote gun control.

**10) Pornography**

None of the funds made available through this award may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

**11) Lobby Restrictions**

The grantee must comply with 45 CFR Part 93. None of the funds made available through this award shall be used to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, grant or cooperative agreement, the making of any Federal loan, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. Influencing or attempting to influence means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of congress in connection with any covered action.

**12) Accounting Records and Disclosure** - Awardees and sub-recipients must maintain records which adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income. The awardee, and all its sub-recipients, should expect that A, or its designee, may conduct a financial compliance audit and on-site program review of grants with significant amounts of Federal funding.

**13) Procurement**

When procuring equipment, the recipient must comply with the procurement standards at 45 CFR Part 75.329 Procurement procedures, which requires the performance and documentation of some form of cost or price analysis with every procurement action.

**14) DUNS Number Annual Update**



The DUNS number recipients use on their application must be registered and active in the System for Award Management (SAM) which can be accessed at <https://www.sam.gov>. Recipients must update their SAM information at least every 12 months to maintain an active account.

### 15) **Trafficking In Persons**

a. Provisions applicable to a recipient that is a private entity.

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—

i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;

ii. Procure a commercial sex act during the period of time that the award is in effect; or

iii. Use forced labor in the performance of the award or subawards under the award.

2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity –

i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or

ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—

A. Associated with performance under this award; or

B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and "Suspension (Nonprocurement)," as implemented by our agency at 2 CFR part 376.

b. Provision applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or

2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—

i. Associated with performance under this award; or

ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB

Guidelines to Agencies on Government wide Debarment and "Suspension (Nonprocurement)," as implemented by our agency at 2 CFR part 376

c. Provisions applicable to any recipient.

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph

a.1 of this award term 2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:

i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

ii. Is in addition to all other remedies for noncompliance that are available to us under this award.

3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

**16) Reducing Text Messaging While Driving** In accordance with Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, dated October 1, 2009, contractors, subcontractors, and recipients and subrecipients are encouraged "to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or GOV, or while driving POV when on official Government business or when performing any work for or on behalf of the Government. Agencies should also encourage Federal contractors, subcontractors, and grant recipients and subrecipients as described in this section to conduct initiatives of the type described in section 3(a) of this order."

**17) Publications:** All grantee publications, including: research publications press releases other publications or documents about research that is funded by ASPR must include the following two statements: A specific acknowledgment of ASPR grant support, such as: "Research reported in this [publication/press release] was supported by [name of the program office(s), or other ASPR offices] the Department of Health and Human Services Office of the Assistant Secretary for Preparedness and Response under award number [specific ASPR grant number(s)]." A disclaimer that says: "The content is solely the responsibility of the authors and does not necessarily represent the official views of the Department of Health and Human Services Office of the Assistant Secretary for Preparedness and Response."

**18) Federal Information Security Management Act (FISMA):** If applicable, all information systems, electronic or hard copy which contain federal data need to be protected from unauthorized access. This also applies to information associated with ASPR 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 Pub. L. No. 107-347.

### **19) Health and Safety Regulations and Guidelines**

Grantees are responsible for meeting applicable Federal, State, and local health and safety standards and for establishing and implementing necessary measures to minimize their employees' risk of injury or illness in activities related to ASPR grants. In addition to applicable Federal, State, and local laws and regulations, the following regulations must be followed when developing and implementing health and safety operating procedures and practices for both personnel and facilities:

- 29 CFR 1910.1030, Blood borne pathogens; 29 CFR 1910.1450, Occupational exposure to hazardous chemicals in laboratories; and other applicable occupational health and safety standards issued by the Occupational Health and Safety Administration (OSHA) and included in 29 CFR 1910. These regulations are available at [http://www.osha.gov/pls/oshaweb/owastand.display\\_standard\\_group?p\\_toc\\_level=1&p\\_art\\_number=1910](http://www.osha.gov/pls/oshaweb/owastand.display_standard_group?p_toc_level=1&p_art_number=1910).
- Nuclear Regulatory Commission “standards and Regulations, pursuant to the Energy Reorganization Act of 1974 (42 U.S.C. 5801 et seq.). Copies may be obtained from the U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001. The following guidelines are recommended for use in developing and implementing health and safety operating procedures and practices for both personnel and facilities:
- Biosafety in Microbiological and Biomedical Laboratories, CDC and NIH, HHS. This publication is available at [http://www.cdc.gov/OD/ohs/biosfty/bmb15/BMBL\\_5th\\_Edition.pdf](http://www.cdc.gov/OD/ohs/biosfty/bmb15/BMBL_5th_Edition.pdf).
- Prudent Practices for “safety in Laboratories (1995), National Research Council, National Academy Press, 500 Fifth Street, NW, Lockbox 285, Washington, DC 20055 (ISBN 0-309-05229-7). This publication can be obtained by telephoning 800-624-8373. It also is available at <http://www.nap.edu/catalog/4911.html>. Grantee organizations are not required to submit documented assurance of their compliance with or implementation of these regulations and guidelines. However, if requested by ASPR, grantees should be able to provide evidence that applicable Federal, State, and local health and safety standards have been considered and have been put into practice.

### **Reporting Requirements:**

Program Reporting:

Progress Reporting: Awardees are required to electronically submit an end-of-year program progress report 90 days after the budget period ends.

**All Federal Financial Reports must be submitted via Division of Payment Management Systems (PMS).**

- 1) Federal Financial Report (FFR)** – Awardees are required to electronically submit a semi annual program progress report and annual Federal Financial Report (Standard Form 425) via Payment Management Systems.

Semi-Annual Federal Financial Report (SF-425) for Budget Period Year 1 is due six months after award budget period start date. The annual Federal Financial Report (SF-425) is due 90 days after budget period end date. The SF-425 is available via Grants.gov. Please submit the semi-annual and annual SF-425 via Division of Payment Management Systems (PMS).

**2) Federal Disbursement Reporting:** The SF-425 will also be used for reporting of expenditure data to meet A“PR’s quarterly financial reporting requirement. All other lines except 10.a through 10.c should be completed.

**3) Cash Transaction Reporting:** Recipients must report cash transaction data using the Federal Financial Report (FFR), SF-425. Recipients will utilize the SF-425 lines 10.a through 10.c to report cash transaction data to the Division of Payment Management. The FFR SF-425 (lines 10.a through 10.c) is due to the Payment Management System 30 days after the end of each calendar quarter. The FFR SF- 425 electronic submission and dates for the new quarters will be announced through the Payment Management/“smartLink Payment “system’s bulletin board. Funds will be frozen if the report is not filed on or before the due date.

**4) Subaward and Executive Compensation Reporting:** Awardees must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements established under OMB guidance at 2 CFR Part 170, unless they qualify for an exception from the requirements, should they be selected for funding. CFDA number is to be included on all Subawards, including contracts and consultant agreements, so ASPR staff may track compliance.

**5) Tangible Property Report:** Awardees will be required to submit an annual (after each 12 month period) Tangible Property Report (SF 428). Final SF 428 reports are due 90 days after the end of the project period.

**6) Audit requirements** for Federal award recipients are detailed at [http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133\\_revised\\_2007.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf). Specifically, non-Federal entities that expend a total of \$750,000 or more in Federal awards, during each Fiscal Year, are required to have an audit completed in accordance with OMB Circular A-133. **This includes COVID-19 funding.** The Circular defines

Federal awards as Federal financial assistance (grants) and Federal cost-reimbursement (contracts) received both directly from a Federal awarding agency as well as indirectly from a pass-through entity and requires entities submit, to the Federal Audit Clearinghouse (FAC), a completed Data Collection Form (SF-SAC) along with the Audit Report, within the earlier of 30 days after receipt of the report or 9 months after the fiscal year end. The Data Collection Forms and Audit Reports MUST be submitted to the FAC electronically at <http://harvester.census.gov/fac/collect/ddeindex.html> . For questions and information concerning the submission process, please visit <http://harvester.census.gov/sac/> or call the FAC 1-800-253-0696.

## **7) Reporting of Matters Related to Recipient Integrity and Performance**

### *1. General Reporting Requirement*

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110–417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111–212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

### *2. Proceedings About Which You Must Report*

Submit the information required about each proceeding that: a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government; b. Reached its final disposition during the most recent five year period; and c. If one of the following:

- (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
- (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
- (3) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
- (4) Any other criminal, civil, or administrative proceeding if: (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition; (ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and (iii) The requirement in this award term and

condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

### ***3. Reporting Procedures***

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

### ***4. Reporting Frequency***

During any period of time when you are subject to this requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

### ***5. Definitions***

For purposes of this award term and condition:

a. Administrative proceeding means a nonjudicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or (4) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgement of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

4. Reporting Frequency During any period of time when you are subject to this requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions For purposes of this award term and condition: a. Administrative proceeding means a non judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables. b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(2) The value of all expected funding increments under a Federal award and options, even if not yet exercised

**Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.**

**All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.**

All responses to special terms and conditions of award and postaward requests must be electronically mailed to the ASPR Grants Management Specialist and to the Program Official as identified on your Notice of Award.

**Remarks:**

## 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 Access Procedures for New Grant Recipients:**

To obtain access to the Payment Management System (PMS), Recipients must complete the below forms

- [Direct Deposit Instructions and SF-1199A Form for Domestic Bank Accounts](#)
- [Direct Deposit Instructions and SF-1199A Form for International Bank Accounts](#)
- [PMS System Access Form](#)

The forms can be submitted to your [PSC Liaison Accountant](#) by emailing the forms directly to

If there is a change in the recipient's banking institution or account number, a new SF-1199A must be submitted to PSC.

PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

HHS/PSC Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov)  
Website: <https://pms.psc.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.

**Note:** To obtain the contact information of PMS staff based on your organization type: Government, Tribal, Universities, Hospitals, Non-Profit, For-Profit; refer to the link for HHS accounts:  
[https://pms.psc.gov/contact\\_us/contactus.html](https://pms.psc.gov/contact_us/contactus.html)

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

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



Grant Document Number:

Payment under this award will be made available through the HHS Departmental Payment Management System (PMS). PMS provides instructions for making withdrawals of Federal funds. Inquiries regarding payments should be directed to Program Support Center/Division of Payment Management (PSC/DPM), DHHS; Post Office Box 6021; Rockville, MD 20852; 1-877-614-5533; [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov).

**Contacts:**

The Grants Management Specialist, is responsible for the negotiation, award and administration of this project and for interpretation of grants administration policies and provisions.

The Project Officer, is responsible for the programmatic and technical aspects.