

 GOVERNMENTAL GRANT CONTRACT (cost reimbursement grant contract with a federal or Tennessee local governmental entity or their agents and instrumentalities)					
Begin Date		End Date		Agency Tracking #	
07/01/18		06/30/19		34360-41219	
Grantee Legal Entity Name					Edison ID
Metropolitan Government of Nashville and Davidson County					4
Subrecipient or Contractor		CFDA # 93.268			
<input checked="" type="checkbox"/> Subrecipient <input type="checkbox"/> Contractor		Grantee's fiscal year end June 30, 2019			
Service Caption (one line only)					
Immunization Services					
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Grant Contract Amount
2019	157,840.00	479,200.00			637,040.00
TOTAL:	157,840.00	479,200.00			637,040.00
Grantee Selection Process Summary					
<input type="checkbox"/> Competitive Selection					
<input checked="" type="checkbox"/> Non-competitive Selection					
As a local governmental entity, the State is obligated to work with this Metro partner in order to effectively fulfill our legal duties and efficiently provide services in this area of Tennessee.					
Budget Officer Confirmation: There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.				CPO USE - GG	
 Digitally signed by Adeniyi R. Bakare DN: cn=Adeniyi R. Bakare, o=Tennessee Department of Health, ou=Division of Administrative Services, email=Adeniyi.Bakare@tn.gov, c=US Date: 2019.07.06 10:15:16 -05'00' Adobe Acrobat DC version: 2015.006.30418					
Speed Chart (optional)		Account Code (optional)			
HL00015818		71301000			

**GRANT CONTRACT
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF HEALTH AND
METROPOLITAN GOVERNMENT OF NASHVILLE AND DAVIDSON COUNTY**

This grant contract ("Grant Contract"), by and between the State of Tennessee, Department of Health, hereinafter referred to as the "State" or the "Grantor State Agency" and Grantee Metropolitan Government of Nashville and Davidson County, hereinafter referred to as the "Grantee," is for the provision of Immunization Services, as further defined in the "SCOPE OF SERVICES AND DELIVERABLES."

Grantee Edison Vendor ID # 4

A. SCOPE OF SERVICES AND DELIVERABLES:

A.1. The Grantee shall provide the scope of services and deliverables ("Scope") as required, described, and detailed in this Grant Contract.

A.2. Service Definitions.

- a. "ACIP" means Advisory Committee on Immunization Practices;
- b. "AFIX" means Assessment, Feedback, Incentive, eXchange, and a quality improvement strategy used by Grantees to raise immunization coverage levels and improve standards of practices at the provider level;
- c. "AFIX Online Tool" refers to a proprietary software program belonging to the Centers for Disease Control and Prevention that is used by local immunization staff to document provider coverage levels and quality improvement activities;
- d. "CDC" means the Centers for Disease Control and Prevention of the U.S. Department of Health and Human Services;
- e. "CVX" is a three digit code which allows specification of a vaccine used at the vaccine administration level and identifies the type of vaccine product used;
- f. "DTaP" refers to a combination vaccine containing the diphtheria, tetanus, and acellular pertussis viruses;
- g. "HBIG" means Hepatitis B immune globulin;
- h. "HBsAg+" means Hepatitis B surface antigen-positive;
- i. "Hep A" means Hepatitis A virus;
- j. "Hep B" means Hepatitis B virus;
- k. "Hib" means *Haemophilus influenzae* virus, type B
- l. "IPV" means inactivated polio virus
- m. "MMR" refers to a combination vaccine containing the measles, mumps and rubella viruses;
- n. "NBS" means the NEDSS Based System which refers to the National Electronic Disease Surveillance System accessed via a Secure Website ;
- o. "NIST" means the National Institute of Standards and Technology, an agency of the U.S. Department of Commerce that develops technology, measurements, and standards;

- p. "NIST SP800-88" means the National Institute of Standards and Technology's Special Publication regarding Guidelines for Media Sanitization;
- q. "PCV" means pneumococcal conjugate vaccine
- r. "PEAR" means Provider Education Assessment and Reporting software, a tool for assessing immunization practices within a clinic, private practice, or any other environment where immunizations are provided. This software is proprietary to the CDC and accessed via the CDC's secure portal - SAMS (Secure Access Management System);
- s. "PHI" means Protected Health Information which is any information created or received by a health care provider, health plan, employer, or health care clearinghouse that relates to the past, present, or future physical, genetic, or mental health or condition of an individual; and
 - (1) That identifies the individual; or
 - (2) For which there is a reasonable basis to believe the information can be used to identify the individual.

PHI includes the provision of health care to an individual and the past, present, or future payment for the provision of health care to an individual;
- t. "PII" means Personally Identifiable Information (see E.8.)
- u. "PTBMIS" means the Patient Tracking Billing and Management Information System of the State agency;
- v. "QIG" means the most current edition of the Quality Improvement Guidelines of the Grantor State Agency;
- w. "REDCap" means Research Electronic Data Capture, a secure web application for building and managing online surveys and databases;
- x. "SAMS" means Secure Access Management System, a secure portal for the CDC where authorized users can login and use CDC software;
- y. "Secure Email" means the use of TLS to encrypt email messages, providing secure data, integrity and confidentiality over computer networks;
- z. "Secure Website" means a website using Transport Layer Security (TLS), which is the standard security technology for establishing an encrypted link between a web server and an internet browser;
- aa. "SIIS" means the State Immunization Information System, a population-based, computerized information system implemented at the state level and is an important tool for tracking immunization records. The outward face of SIIS is known as the Tennessee Immunization Information System (TennIIS). Immunization data is entered into the system through the TennIIS web portal;
- bb. "TLS" means Transport Layer Security, which is a cryptographic protocol designed to provide communications security over computer networks; ensures privacy between communicating applications and their users on the Internet; ensures that no third party may eavesdrop or tamper with any message.
- cc. "TennIIS" means the Tennessee Immunization Information System, previously known as the "immunization registry". It is the State database used for storing immunization

records or children and adolescents administered in health departments or by other health care providers and is accessed via a Secure Website;

- dd. "TIP" means the Tennessee Immunization Program;
 - ee. "VFC" means the Vaccines for Children Program, a federal entitlement program created by the Omnibus Budget Reconciliation Act of 1993, a required component of the State's medical assistance program, and considered a Title XIX Medicaid program;
 - ff. "WIC" or "WIC Program" means the Special Supplemental Nutrition Program for Women, Infants, and Children established by the Child Nutrition Act of 1966 and codified as 42 U.S.C. §1786.p.
- A.3. Service Goals. The goal of the TIP is to promote the proper use of all recommended vaccines, in collaboration with the Federal CDC and other partners and to ensure that Tennessee meets or exceeds the Federal Department of Health and Human Services Healthy People 2020 objectives for immunization coverage. The TIP is paid for with Federal money and is administered at the Federal level by the CDC, at the state level by the state agency, and at the local level by one of the many local agencies.
- A.4. Service Recipients. Service recipients are all people living, working, and visiting in Tennessee, with emphasis placed on children ages zero (0) through eighteen (18) years old who are uninsured, underinsured, or are eligible for Medicaid services and young adults nineteen (19) years and older who are uninsured and susceptible to vaccine preventable diseases.
- A.5. Service Description. The Grantee shall use grant funds to conduct an immunization program as a functional part of the State's TIP for the delivery of immunization program services described in this Grant Contract in compliance with the current procedures and guidelines of the TIP, the most recent copy of which is on file in the Department of Health and has been provided to the Grantee. If TIP procedures or guidelines are revised during the term of this Grant Contract, the TIP will communicate revisions by email and through the annual TIP training for field staff.

The Grantee shall collaborate with the TIP in meeting requirements and objectives established by the CDC, including, but not limited to: carrying out TIP program evaluation efforts and assessments; carrying out Federal grant requirements; and, carrying out activities to ensure that at least ninety percent (90%) of children in the Grantee's jurisdiction have completed each one of the seven (7) basic CDC recommended immunizations (DTaP, IPV, MMR, Hib, Hep B, Varicella, and PCV) as measured in the annual survey of twenty-four (24) month old children.

As a participant in the TIP, the Grantee agrees to:

- a. Follow all policies and procedures established by the State during public health emergencies.
- b. Conduct quality reviews of all health programs provided by the Grantee utilizing the tools in the most current edition of the QIG, a copy of which has been provided to the Grantee.
- c. Submit documentation of reviews to the Office of Quality Improvement (QI) as indicated in the most current edition of the QIG.
- d. Appoint a physician to oversee local immunization program efforts.
- e. Assign a dedicated, full time Immunization Program Representative (or Coordinator) to oversee Immunization Program activities and function as the primary contact person to the TIP. The job classification for this representative must be a minimum of a Public Health Representative 3 or a Registered Nurse.

- f. Provide education and training to all staff responsible for immunization program immunization program activities. Grantee staff may attend national immunization conferences recommended by the TIP to ensure staff have adequate knowledge to carry out responsibilities and duties. Ensure that all Immunization Program staff who will conduct VFC compliance site visits attend all education and training programs conducted by the TIP, including, but not limited to, statewide meetings, conference calls, video conferences, and on-site training sessions. Funding designated for education is included in this Grant Contract.
- g. Participate in the TIP objectives and activities for the CDC 2019 Immunization Cooperative Agreement, as requested by TIP, including, but not limited to:
- (1) Conducting annual VFC provider compliance site visits, according to the most current CDC "Guidance for Site Visit Reviewer" field staff procedures and annual schedule established by the TIP, of at least fifty (50) percent of the public and fifty (50) percent of the private providers enrolled in the VFC program in Grantee's jurisdiction annually; ensuring that every VFC provider has a VFC compliance site visit at least once every twenty-four (24) months. Grantees with between twenty-one (21) and thirty-nine (39) VFC-enrolled providers must conduct VFC provider compliance site visits to at least twenty (20) providers annually. Grantees with twenty (20) or fewer VFC-enrolled providers must conduct a VFC compliance site visit to all providers annually. Site visits will include, but are not limited to, the following:
 - i. Monitor the appropriate storage, handling, and administration of vaccine.
 - ii. Report critical findings of VFC compliance site visits to the Grantor State Agency Central Office of the TIP for guidance on actions to be taken as a result of the assessment findings within one (1) business day of the site visit. If evidence of inappropriately stored and/or compromised vaccine is found, or if fraud and/or abuse involving VFC vaccine is suspected, it must be reported immediately by telephone before leaving the provider facility.
 - iii. Enter all VFC site visit data into the PEAR program and other designated software systems as required by CDC within four (4) business days of completing the visit. CDC software systems are accessed via their Secure Website and login to these systems is via their SAMS portal.
 - (2) Conducting annual AFIX visits according to the most current "AFIX Online Tool User Guide" field staff procedures and the annual schedule established by the TIP. All AFIX visits will be conducted using TennIIS. Every VFC provider receiving a scheduled compliance site visit during the Term will receive an AFIX site visit. AFIX site visits shall include, but are not limited to, the following:
 - i. Determine, by assessment of patient records in TennIIS, the immunization coverage level of children served by that provider.
 - ii. Identify immunization service delivery practices that promote or prevent complete immunization of children and adolescents in the practice according to CDC information provided by TIP to the Grantee.
 - iii. Specify objectives and problem resolutions in writing to each provider for whom assessments are conducted that enhance the provider's practice's delivery of immunizations according to CDC recommendations provided by TIP to the Grantee.
 - iv. Enter all AFIX site visit data into AFIX Online Tool software program as required by CDC within four (4) business days of completing the visit. CDC software systems are accessed via their Secure Website and login to these systems is via their SAMS portal.
- h. Ensure the active follow-up of children who are identified by the TIP and reported to Grantee by Secure Email as being at high-risk of not completing immunizations,

including, but not limited to, children aged twenty (20) through twenty-four (24) months old identified as having received fewer than four (4) doses of DTaP vaccine.

- i. Work with the TIP to achieve the following levels of compliance with state immunization regulations and CDC recommendations for:
 - (1) Kindergarten – ninety-eight percent (98%) or better compliance with regulations.
 - (2) On-time immunization of ninety percent (90%) of twenty-four (24) months old children for each of the following routinely recommended vaccines (4 DTaP, 3 Polio, 1 MMR, 3 Hep B, 3 Hib, 1 Varicella, 4 Pneumococcal) and eighty percent (80%) for each of the following more recently recommended vaccines (2 Hep A, 2 or more rotavirus, and annual influenza).

- j. Participate in the TIP Perinatal Hepatitis B Program by:
 - (1) Assigning a health department representative as coordinator to oversee the Perinatal Hepatitis B Program and function as the primary contact person to the TIP for perinatal hepatitis B prevention efforts. The job classification for this representative must be a minimum of a Public Health Representative 2 or a Registered Nurse.
 - (2) Entering all pregnant women who have been found to be HBsAg+ into the TIP Perinatal Hepatitis B database located within the secure REDCap system and in the NBS and submitting updated reports to TIP as requested by TIP.
 - (3) Working with hospitals and obstetric physicians to ensure that all children born to HBsAg+ women receive HBIG and the first dose of hepatitis B vaccine within twelve (12) hours of birth.
 - (4) Ensuring that household and sexual contacts of the mother are identified, screened for infection, vaccinated to prevent infection and, when medically indicated, advised to receive HBIG, in accordance with current published CDC guidelines.
 - (5) Ensuring that both infants and susceptible contacts of HBsAg+ pregnant women are monitored and receive a complete series of hepatitis B vaccine and that the infants, household contacts under five (5) years of age, and the susceptible ongoing sexual contacts receive a post immunization serologic test to verify immunity.

- k. Perform routine surveys as mandated by CDC immunization grant requirements and/or the TIP, including:
 - (1) Conducting a survey of twenty-four (24) months old children according to procedures and time lines developed by the TIP to:
 - i. Gather designated survey data to determine the immunization status of each survey child selected. Data shall be entered into REDCap.
 - ii. Complete the investigation of each survey individual until either:
 - a) all existing immunization data are determined, or
 - b) the individual child is proven to be excludable from the survey.
 - iii. Report all results of the investigations to the TIP. All reports containing PHI will be delivered via Secure Email.
 - (2) Conducting School Validation Surveys on a sample of records from a sample of schools where school immunization compliance reports are not completed by a school nurse according to procedures and time lines developed and provided by the TIP to:

- i. Determine if the school systems are reporting compliance with state immunization regulations accurately on the entering kindergarten classes where immunization requirements apply.
 - ii. Identify the levels of compliance with state immunization requirements in a sample of kindergarten students where requirements apply.
 - iii. Identify the students sampled who have non-compliant immunization records and immediately report them to the school principal or appropriate local school official.
 - iv. Report findings of validation surveys to TIP by the deadline established by the TIP.

- l. Respond to case reports of all vaccine preventable diseases within twenty-four (24) hours of a report received by the Grantee, except reports of measles cases which will have an immediate response. Services, at a minimum, shall include:
 - (1) The Grantee shall contact TIP and other county health departments, as appropriate and sharing information about the cases, with the other Metros and regional staff, within 24 hours.
 - (2) The Grantee shall complete the required case report forms and case investigation data and report to the State as a reportable disease in NBS within 48 hours to 1 week; depending on the disease, as noted on the reportable disease list available at <https://apps.health.tn.gov/ReportableDiseases/>
 - (3) After confirmatory re-testing results from the State Laboratory, the Grantee shall, with State assistance, arrange immunization clinics and/or medical appointments as necessary to control the spread of the disease.
 - (4) The State will review the NBS report and submit to CDC.

- m. Perform Education and Outreach activities, including:
 - (1) Responding, as necessary, to special Immunization Program activities that may be conducted in the Grantee's jurisdiction, such as a school-based clinic in response to disease outbreaks.
 - (2) Improving the immunization levels of specific population sub-groups through specific outreach to groups at increased risk for delayed or incomplete immunization, such as minorities, pre-teens, and adolescents.

- n. Promote all CDC recommended vaccines for adolescents and adults through service delivery activities designed to target pre-teens and adolescents, such as establishing systems in health department clinics to ensure that immunization status is reviewed and vaccines are given at every health visit involving pre-teens and adolescents whenever health department policy permits. Participate in community vaccination activities where feasible or promote adult immunization in the grantee's community.

- o. For all Federally funded vaccines administered, utilize the most current PTBMIS codes or CVX codes, as specified by the State. These codes shall be used to record all immunization transactions. Grantee shall comply with current TIP policy for the use of PTBMIS and coding of Federal vaccines administered in local health departments.

- p. Monitor requirements for provider participation in the VFC Program, including:
 - (1) Requiring that no patient eligible for VFC is denied routine immunizations because of inability to pay a vaccine administration fee.

- (2) Requiring that all VFC providers offer VFC eligible patients all routine immunizations recommended for them by the CDC.
 - (3) Notifying TIP of providers who are not in compliance with these requirements. TIP will notify these providers that they must promptly comply with Federal law.
- q. Comply with Tennessee Rules and Regulations 1200-14-1-.29(2), which authorize Grantees to provide proof of immunizations to the admissions officer of any school in the state of Tennessee and to physicians who are evaluating a school-aged patient's immunization status.
 - r. Work with the Grantee's WIC Programs to monitor the immunization status of WIC recipients. Review immunization histories on all WIC enrollees and refer children, as appropriate, to the immunization clinic. Children who are behind on immunizations should be placed on an accelerated immunization schedule (the CDC "Catch Up Schedule") and consider strategies to ensure return immunization visits until the child is caught up to date.
 - s. Maintain an insurance policy or alternative means to cover replacement of VFC vaccines due to storage failure. Replace vaccines to the VFC Program if vaccines are compromised and must be discarded due to human error, including failure to follow proper vaccine storage and handling guidelines or failure to respond appropriately to storage unit failures, according to the TIP.
- A.6. Compliance with Enterprise Information Security Policies. (SaaS and STS) The Contractor is required to meet all the security controls stated in the Tennessee Enterprise Information Security Policies (http://www.tn.gov/assets/entities/finance/oir/attachments/PUBLIC-Enterprise-Information-Security-Policies-v2.0_1.pdf) and conform to all applicable State and Federal laws regarding information security. As additional State and Federal Security and Regulatory requirements are imposed, the Contractor shall ensure that the environment content and applications are kept up to date with the emerging requirements.
- A.7. PHI – Protected Health Information
- a. Grantee shall implement administrative, physical, and technical security measures to protect the confidentiality, integrity, and availability of the electronic PHI that it creates, receives, maintains, or transmits on behalf of the State in accordance to NIST Special Publication 800-53 Revision 4 and as required by HIPPA Security Rule. This includes mechanisms to encrypt and decrypt PHI "at rest" and "during transmission" over an electronic communications network, including the internet, consistent with NIST Special Publications 800-52, 800-77 and Guidelines as appropriate to comply with any Federal Information Processing Standards in the protection of PHI. This data shall be protected against unauthorized access, disclosure, modification, theft, or destruction whether accidental or deliberate.
 - b. PHI shall only be hosted/stored on one or more servers within the continental United States that have a secure physical location with securely controlled limited physical and remote access. The Contractor shall use encryption that is in accordance with the Secretary of Health and Human Service's Guidance to Render Unsecured PHI Unusable, Unreadable, or Indecipherable to Unauthorized Individuals available at <http://www.hhs.gov/hipaa/for-professionals/breach-notification/guidance/index.html> and consistent with NIST Special Publication 800-111 Guide to Storage Encryption, including the use of standards based encryption format using triple-DES (3DES), or the Advanced Encryption Standard (AES), or their successors.
 - c. The Contractor's system shall support protection of confidentiality of all PHI delivered over the internet or other known open networks via encryption using triple-DES (3DES) or the

Advanced Encryption Standard (AES) and an open protocol such as TLS, SSL, IPsec, XML encryptions, or S/MIME or their successors.

- d. The Contractor's system shall support protection of integrity of all PHI delivered over the internet or other known open networks via Microsoft's current acceptable level of SHA hashing and an open protocol such as TLS, SSL, IPsec, XML digital signature, or S/MIME or their successors.

A.8. Data Sanitization. The Contractor shall upon expiration or termination of the Contract, for any reason, securely return all data received/created by the State or received/created by the Contractor, subcontractor or agents on behalf of the State, to the State point of contact using a method mutually agreed upon by both parties at the time of termination. The Contractor will then destroy all data in accordance to the current NIST SP800-88 Sanitation guidelines and provide the State with a signed "Letter of Destruction" within ten (10) business days after the destruction of data. This letter must contain identification of the data erased and a description of the certified method used to perform this data sanitization.

A.9. Security Measures. (Used to cover both PHI and PII, plus Penetration Testing)

- a. The Contractor shall implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of any electronic PHI and PII that the Contractor, subcontractor(s) or agent(s) create, receive, maintain, or transmit on behalf of the State as required by the Security Rule. This data shall be protected against unauthorized access, disclosure, modification, theft, or destruction, whether accidental or deliberate.
- b. The Contractor shall implement technical security measures including mechanisms to encrypt and decrypt PHI and PII information "at rest" and "during transmission" over an electronic communications network consistent with NIST Special Publications 800-52 Revision 1, 800-53 Revision 4, 800-77, 800-122 and Guidelines as appropriate to comply with Federal Information Processing Standards in the protection of PHI and PII.
- c. The Contractor's system shall support protection of confidentiality of all PHI and/or PII delivered over the internet or other known open networks via encryption using triple-DES (3DES) or the Advanced Encryption Standard (AES) and an open protocol such as TLS, SSL, IPsec, XML encryptions, or S/MIME or their successors.
- d. The Contractor's system shall support protection of integrity of all PHI and PII delivered over the internet or other known open networks via Microsoft's current acceptable level of SHA hashing and an open protocol such as TLS, SSL, IPsec, XML digital signature, or S/MIME or their successors.
- e. The Contractor's system, when storing PHI and/or PII shall support use of Standards based encryption format using triple-DES (3DES), or the Advanced Encryption Standard (AES), or their successors.
- f. Encryption shall be in accordance with the Secretary of the U.S. Health and Human Service's Guidance to Render Unsecured Protected Health Information Unusable, Unreadable, or Indecipherable to Unauthorized Individuals available at <http://www.hhs.gov/hipaa/for-professionals/breach-notification/guidance/index.html> and consistent with NIST Special Publication 800-111 Guide to Storage Encryption.
- g. The State reserves the right to perform Penetration Testing. If the State exercises this right, the Contractor shall allow State employees (or designated third parties) to conduct Security Assessment activities to include control reviews. Review activities include but are not limited to scanning operating systems, web applications, wireless scanning; network device scanning to include routers, switches, and firewall, and IDS/IPS; databases and other applicable systems, including general support structure, that support the processing, transportation, storage, or security of State information for vulnerabilities.

- h. At the State's request, the contractor shall provide proof of certification, accreditation, or audit on a yearly basis to the State to validate the hosting solution security. Examples: SOC 2 Type II/ SOC 3, ISO 27001.).
- i. Firewalls shall be maintained to provide current protection for the Hosting Network and the hosting environment.
- j. Anti-virus protection shall be maintained at a current level to protect the hosting environment.
- k. Hosting servers shall be maintained at current patch levels for applications and operating system.
- l. Hosting facility shall be maintained to include proper environmental and power protection controls.

A. 10. Reporting Requirements.

- a. The Grantee agrees to maintain a staffing level to adequately carry out immunization program activities of TIP. If at any time fewer than seventy-five percent (75%) of the positions funded through this Grant Contract are filled, the Grantee shall immediately notify the TIP and submit a corrective action plan documenting efforts to address the staffing deficiency.
- b. The Grantee shall submit a quarterly report of all staff performing the immunization program activities including the category of services as defined in A. 5 above with employee name, position title, salary, and percent of time performing these services for the specific quarter to the TIP Program Manager and TIP Fiscal Administrator (Attachment 4). The quarterly report shall be submitted by email prior to or no later than the fifteenth (15th) calendar day of the month following the end of each quarter (October 15, 2018; January 15, 2019; April 15, 2019 and July 15, 2019).
- c. The Grantee shall maintain appropriate personnel records, e.g., time, attendance and leave, and payroll for review by the State or any other appropriate state or Federal agency.

A.11. Service Deliverables.

Deliverable	Contract Section	Delivery Date	Due to Whom	Requested Format
Follow all policies and procedures established by the State during public health emergencies.	A.5.a.	Ongoing	N/A	N/A
Conduct quality reviews of all health programs using tools in current edition of QIG.	A.5.b.	Ongoing	TIP	In-Person
Submit documentation of reviews to the Office of Quality Improvement (QI).	A.5.c.	Ongoing	Office of Quality Improvement, Community Health Services	PDF
Appoint a physician to oversee local immunization program efforts.	A.5.d.	Ongoing	N/A	N/A

Assign a dedicated, full time Immunization Program Representative (or Coordinator).	A.5.e.	Ongoing	N/A	N/A
Provide education and training to all staff responsible for Immunization Program activities. Ensure that all Immunization Program staff who will conduct VFC compliance site visits attend all education and training programs conducted by the TIP.	A.5.f.	TBD by TIP	N/A	In-person trainings, conference calls
Conduct annual VFC Compliance Site Visits in accordance with CDC guidelines.	A.5.g.(1)	Ongoing	Provider and TIP	In-Person
Conduct annual AFIX visits in accordance with CDC guidelines.	A.5.g.(2)	Ongoing	Provider and TIP	In-Person
Ensure the active follow-up of children who are identified by the TIP and reported to Grantee by Secure Email as being at high-risk of not completing immunizations.	A.5.h.	Monthly	N/A	Using data in Overdue DTaP report provided by TIP
Work with the TIP to achieve immunization coverage levels in compliance with state immunization regulations and CDC recommendations.	A.5.i.	Ongoing	TIP	N/A
Participate in the TIP Perinatal Hepatitis B Program in accordance with TIP and CDC requirements.	A.5.j.	Ongoing	TIP	TIP Perinatal Hepatitis B database and NEDSS system.
Conduct a survey of twenty-four (24) months old children according to procedures and time lines developed by the TIP.	A.5.k.(1)	Ongoing	TIP	Completed surveys
Conduct School Validation Surveys on a sample of records from a sample of schools in accordance with TIP requirements and deadlines.	A.5.k.(2)	Annually by date established by TIP	TIP	Completed surveys
Respond to case reports of all vaccine preventable diseases.	A.5.l.	Within 24 hours of report	TIP	Case report form and entered into NEDSS
Perform Education and Outreach activities.	A.5.m.	Ongoing	N/A	N/A

Promote all CDC recommended vaccines for adolescents and adults.	A.5.n.	Ongoing	N/A	N/A
Utilize PTBMIS codes or CVX codes as specified by the State	A.5.o.	Ongoing	N/A	N/A
Monitor requirements for provider participation in the VFC Program in accordance with TIP Protocol and CDC requirements and notify TIP of noncompliance.	A.5.p.	Ongoing	TIP	Telephone or written notification with appropriate documentation
Comply with Tennessee Rules and Regulations 1200-14-1-.29(2).	A.5.q.	Ongoing	N/A	N/A
Work with the Grantee's WIC Programs to monitor the immunization status of WIC recipients.	A.5.r.	Ongoing	N/A	N/A
Maintain an insurance policy or alternative means to cover replacement of VFC vaccines due to storage failure.	A.5.s.	Ongoing	N/A	N/A
Maintain a staffing level to adequately carry out immunization program activities of TIP.	A.10.a.	Ongoing	TIP	Telephone or written notification with corrective action plan if needed
Submit a quarterly report of all staff performing the immunization program activities.	A.10.b.	No later than the fifteenth (15th) calendar day of the month following the end of each quarter October 15, 2018, January 15, 2019; April 15, 2019; and July 15, 2019).	TIP	Written report
Maintain appropriate personnel records.	A.10.c.	Ongoing	N/A	N/A

A.12. Inspection and Acceptance. Acceptance of the work outlined above will be made by the State or its authorized representative. The State makes the final determination regarding acceptance of the work being performed under this Contract.

- A.13. Incorporation of Federal Award Identification Worksheet. The federal award identification Worksheet, which appears as Attachment 1, is incorporated in this Grant Contract.
- A.14. Accountability of Federal Funding. In accordance with CDC requirements, Grantee shall account for funds awarded by specific funding source (Attachment 5).
- a. The funding sources and a summary of allowable activities/expenses for each source are outlined below and are listed from most restrictive to least restrictive funding.
 - (1) Pandemic Influenza – only those required activities and expenses associated with increasing/promoting seasonal influenza vaccination, specifically provider out-reach and education regarding ACIP recommendations for seasonal flu vaccination. Note: Immunization field staff are required to promote seasonal flu vaccination during VFC site visits.
 - (2) VFC/AFIX – those required activities and expenses related to/associated with VFC compliance site visits and quality assurance (AFIX visits), provider follow-up/contacts, education, staff training and educational activities.
 - (3) 317 Operations – those required activities and expenses related to conducting routine/required surveys (i.e., twenty-four (24) month old surveys and school validation surveys), Perinatal Hepatitis B Prevention Program activities, vaccine preventable disease surveillance and investigation, those required activities and expenses related to/associated with VFC compliance site visits activities, provider follow-up/contacts and education, staff training and educational activities.
 - b. Grantee shall submit invoices detailing expenses for federal and state funding in general and per specific federal funding source. Grantee will submit invoice documents listed as follows with appropriate supporting documentation, and expenditures shall align with budgets referenced in Section C.1. of this Grant Contract.
 - (1) Invoices for Reimbursement
 - i. Roll-up (total of federal and state funding)
 - ii. 317 Operations
 - iii. PPHF Supplement
 - iv. State funded activities

B. TERM OF CONTRACT:

This Grant Contract shall be effective on July 1, 2018 ("Effective Date") and extend for a period of 12 months after the Effective Date ("Term"). The State shall have no obligation to the Grantee for fulfillment of the Scope outside the Term.

C. PAYMENT TERMS AND CONDITIONS:

- C.1. Maximum Liability. In no event shall the maximum liability of the State under this Grant Contract exceed Six Hundred Thirty-Seven Thousand Forty Dollars (\$637,040.00) ("Maximum Liability") The Grant Budget, attached and incorporated as Attachment 2 is the maximum amount due the Grantee under this Grant Contract. The Grant Budget line-items include, but are not limited to, all applicable taxes, fees, overhead, and all other direct and indirect costs incurred or to be incurred by the Grantee.
- C.2. Compensation Firm. The Maximum Liability of the State is not subject to escalation for any reason unless amended. The Grant Budget amounts are firm for the duration of the Grant

Contract and are not subject to escalation for any reason unless amended, except as provided in Section C.6.

- C.3. Payment Methodology. The Grantee shall be reimbursed for actual, reasonable, and necessary costs based upon the Grant Budget, not to exceed the Maximum Liability established in Section C.1. Upon progress toward the completion of the Scope, as described in Section A of this Grant Contract, the Grantee shall submit invoices prior to any reimbursement of allowable costs.
- C.4. Travel Compensation. Reimbursement to the Grantee for travel, meals, or lodging shall be subject to amounts and limitations specified in the "State Comprehensive Travel Regulations," as they are amended from time to time, and shall be contingent upon and limited by the Grant Budget funding for said reimbursement.
- C.5. Invoice Requirements. The Grantee shall invoice the State no more often than monthly, with all necessary supporting documentation, and present such to:

Tennessee Department of Health
 Immunization Program
 Debbie Pearson, Fiscal Administrator
 3rd Floor Andrew Johnson Tower
 710 James Robertson Parkway
 Nashville, Tennessee 37243
 Email address: Debbie.Pearson@tn.gov
 Telephone # (615) 253-8678

- a. Each invoice shall clearly and accurately detail all of the following required information (calculations must be extended and totaled correctly).
- (1) Invoice/Reference Number (assigned by the Grantee).
 - (2) Invoice Date.
 - (3) Invoice Period (to which the reimbursement request is applicable).
 - (4) Grant Contract Number (assigned by the State).
 - (5) Grantor: Department of Health, Communicable and Environmental Diseases & Emergency Preparedness.
 - (6) Grantor Number (assigned by the Grantee to the above-referenced Grantor).
 - (7) Grantee Name.
 - (8) Grantee Tennessee Edison Registration ID Number Referenced in Preamble of this Grant Contract.
 - (9) Grantee Remittance Address.
 - (10) Grantee Contact for Invoice Questions (name, phone, or fax).
 - (11) Itemization of Reimbursement Requested for the Invoice Period— it must detail, at minimum, all of the following:
 - i. The amount requested by Grant Budget line-item (including any travel expenditure reimbursement requested and for which documentation and receipts, as required by "State Comprehensive Travel Regulations," are attached to the invoice).
 - ii. The amount reimbursed by Grant Budget line-item to date.
 - iii. The total amount reimbursed under the Grant Contract to date.
 - iv. The total amount requested (all line-items) for the Invoice Period.
- b. The Grantee understands and agrees to all of the following.
- (1) An invoice under this Grant Contract shall include only reimbursement requests for actual, reasonable, and necessary expenditures required in the delivery of service described by this Grant Contract and shall be subject to the Grant Budget and any other provision of this Grant Contract relating to allowable reimbursements.

- (2) An invoice under this Grant Contract shall not include any reimbursement request for future expenditures.
 - (3) An invoice under this Grant Contract shall initiate the timeframe for reimbursement only when the State is in receipt of the invoice, and the invoice meets the minimum requirements of this section C.5.
- C.6. Budget Line-items. Expenditures, reimbursements, and payments under this Grant Contract shall adhere to the Grant Budget. The Grantee may move up to twenty percent (20%) of a line-item amount to another line item category provided that any increase is off-set by an equal reduction of other line-item amount(s) and the total Grant Contract amount detailed by the Grant Budget does not increase. An increase of any line item funded at zero dollars (\$0.00) shall require prior approval of the Grantor State Agency.
- C.7. Disbursement Reconciliation and Close Out. The Grantee shall submit any final invoice and a grant disbursement reconciliation report within sixty (60) days of the Grant Contract end date, in form and substance acceptable to the State.
- a. If total disbursements by the State pursuant to this Grant Contract exceed the amounts permitted by the section C, payment terms and conditions of this Grant Contract, the Grantee shall refund the difference to the State. The Grantee shall submit the refund with the final grant disbursement reconciliation report.
 - b. The State shall not be responsible for the payment of any invoice submitted to the State after the grant disbursement reconciliation report. The State will not deem any Grantee costs submitted for reimbursement after the grant disbursement reconciliation report to be allowable and reimbursable by the State, and such invoices will NOT be paid.
 - c. The Grantee's failure to provide a final grant disbursement reconciliation report to the State as required by this Grant Contract shall result in the Grantee being deemed ineligible for reimbursement under this Grant Contract, and the Grantee shall be required to refund any and all payments by the State pursuant to this Grant Contract.
 - d. The Grantee must close out its accounting records at the end of the Term in such a way that reimbursable expenditures and revenue collections are NOT carried forward.
- C.8. Indirect Cost. Should the Grantee request reimbursement for indirect costs, the Grantee must submit to the State a copy of the indirect cost rate approved by the cognizant federal agency or the cognizant state agency, as applicable. The Grantee will be reimbursed for indirect costs in accordance with the approved indirect cost rate and amounts and limitations specified in the attached Grant Budget. Once the Grantee makes an election and treats a given cost as direct or indirect, it must apply that treatment consistently and may not change during the Term. Any changes in the approved indirect cost rate must have prior approval of the cognizant federal agency or the cognizant state agency, as applicable. If the indirect cost rate is provisional during the Term, once the rate becomes final, the Grantee agrees to remit any overpayment of funds to the State, and subject to the availability of funds the State agrees to remit any underpayment to the Grantee.
- C.9. Cost Allocation. If any part of the costs to be reimbursed under this Grant Contract are joint costs involving allocation to more than one program or activity, such costs shall be allocated and reported in accordance with the provisions of Department of Finance and Administration Policy Statement 03 or any amendments or revisions made to this policy statement during the Term.
- C.10. Payment of Invoice. A payment by the State shall not prejudice the State's right to object to or question any reimbursement, invoice, or related matter. A payment by the State shall not be construed as acceptance of any part of the work or service provided or as approval of any amount as an allowable cost.
- C.11. Non-allowable Costs. Any amounts payable to the Grantee shall be subject to reduction for amounts included in any invoice or payment that are determined by the State, on the basis of

audits or monitoring conducted in accordance with the terms of this Grant Contract, to constitute unallowable costs.

- C.12. State's Right to Set Off. The State reserves the right to set off or deduct from amounts that are or shall become due and payable to the Grantee under this Grant Contract or under any other agreement between the Grantee and the State of Tennessee under which the Grantee has a right to receive payment from the State.
- C.13. Prerequisite Documentation. The Grantee shall not invoice the State under this Grant Contract until the State has received the following, properly completed documentation.
- a. The Grantee shall complete, sign, and return to the State an "Authorization Agreement for Automatic Deposit (ACH Credits) Form" provided by the State. By doing so, the Grantee acknowledges and agrees that, once this form is received by the State, all payments to the Grantee under this or any other grant contract will be made by automated clearing house ("ACH").
 - b. The Grantee shall complete, sign, and return to the State the State-provided W-9 form. The taxpayer identification number on the W-9 form must be the same as the Grantee's Federal Employer Identification Number or Social Security Number referenced in the Grantee's Edison registration information.

D. STANDARD TERMS AND CONDITIONS:

- D.1. Required Approvals. The State is not bound by this Grant Contract until it is signed by the parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this Grant Contract, the officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
- D.2. Modification and Amendment. This Grant Contract may be modified only by a written amendment signed by all parties and approved by the officials who approved the Grant Contract and, depending upon the specifics of the Grant Contract as amended, any additional officials required by Tennessee laws and regulations (the officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
- D.3. Termination for Convenience. The State may terminate this Grant Contract without cause for any reason. A termination for convenience shall not be a breach of this Grant Contract by the State. The State shall give the Grantee at least thirty (30) days written notice before the effective termination date. The Grantee shall be entitled to compensation for authorized expenditures and satisfactory services completed as of the termination date, but in no event shall the State be liable to the Grantee for compensation for any service that has not been rendered. The final decision as to the amount for which the State is liable shall be determined by the State. The Grantee shall not have any right to any actual general, special, incidental, consequential, or any other damages whatsoever of any description or amount for the State's exercise of its right to terminate for convenience.
- D.4. Termination for Cause. If the Grantee fails to properly perform its obligations under this Grant Contract, or if the Grantee violates any terms of this Grant Contract, the State shall have the right to immediately terminate this Grant Contract and withhold payments in excess of fair compensation for completed services. Notwithstanding the exercise of the State's right to terminate this Grant Contract for cause, the Grantee shall not be relieved of liability to the State for damages sustained by virtue of any breach of this Grant Contract by the Grantee.
- D.5. Subcontracting. The Grantee shall not assign this Grant Contract or enter into a subcontract for any of the services performed under this Grant Contract without obtaining the prior written approval of the State. If such subcontracts are approved by the State, each shall contain, at a minimum, sections of this Grant Contract pertaining to "Conflicts of Interest," "Lobbying,"

"Nondiscrimination," "Public Accountability," "Public Notice," and "Records" (as identified by the section headings). Notwithstanding any use of approved subcontractors, the Grantee shall remain responsible for all work performed.

- D.6. Conflicts of Interest. The Grantee warrants that no part of the total Grant Contract Amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Grantee in connection with any work contemplated or performed relative to this Grant Contract.
- D.7. Lobbying. The Grantee certifies, to the best of its knowledge and belief, that:
- a. No federally appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
 - b. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this contract, grant, loan, or cooperative agreement, the Grantee shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - c. The Grantee shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into and is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352.

D.8. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Grant Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by email or facsimile transmission with recipient confirmation. All communications, regardless of method of transmission, shall be addressed to the respective party as set out below:

The State:

Catherine Haralson, Program Manager
 Tennessee Department of Health
 Immunization Program
 3rd Floor Andrew Johnson Tower
 710 James Robertson Parkway
 Nashville, Tennessee 37243
 Email Address: Catherine.D.Haralson@tn.gov
 Telephone # (615) 741-7507
 Fax # (615) 532-8526

The Grantee:

William Paul, M.D., Director
 Metropolitan Government of Nashville and Davidson County

2500 Charlotte Avenue
 Nashville, TN 37209
 Email Address: Bill.Paul@nashville.gov
 Telephone # (615) 340-5622, Fax # (615) 340-2131

A change to the above contact information requires written notice to the person designated by the other party to receive notice.

All instructions, notices, consents, demands, or other communications shall be considered effectively given upon receipt or recipient confirmation as may be required.

- D.9. Subject to Funds Availability. This Grant Contract is subject to the appropriation and availability of State or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate this Grant Contract upon written notice to the Grantee. The State's right to terminate this Grant Contract due to lack of funds is not a breach of this Grant Contract by the State. Upon receipt of the written notice, the Grantee shall cease all work associated with the Grant Contract. Should such an event occur, the Grantee shall be entitled to compensation for all satisfactory and authorized services completed as of the termination date. Upon such termination, the Grantee shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- D.10. Nondiscrimination. The Grantee hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Grant Contract or in the employment practices of the Grantee on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by federal, Tennessee state constitutional, or statutory law. The Grantee shall, upon request, show proof of nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- D.11. HIPAA Compliance. The State and the Grantee shall comply with obligations under the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Health Information Technology for Economic and Clinical Health Act (HITECH) and any other relevant laws and regulations regarding privacy (collectively the "Privacy Rules"). The obligations set forth in this Section shall survive the termination of this Grant Contract.
- a. The Grantee warrants to the State that it is familiar with the requirements of the Privacy Rules and will comply with all applicable HIPAA requirements in the course of this Grant Contract.
 - b. The Grantee warrants that it will cooperate with the State, including cooperation and coordination with State privacy officials and other compliance officers required by the Privacy Rules, in the course of performance of this Grant Contract so that both parties will be in compliance with the Privacy Rules.
 - c. The State and the Grantee will sign documents, including but not limited to business associate agreements, as required by the Privacy Rules and that are reasonably necessary to keep the State and the Grantee in compliance with the Privacy Rules. This provision shall not apply if information received by the State under this Grant Contract is NOT "protected health information" as defined by the Privacy Rules, or if the Privacy Rules permit the State to receive such information without entering into a business associate agreement or signing another such document.
- D.12. Public Accountability. If the Grantee is subject to Tenn. Code Ann. § 8-4-401 *et seq.*, or if this Grant Contract involves the provision of services to citizens by the Grantee on behalf of the State, the Grantee agrees to establish a system through which recipients of services may present grievances about the operation of the service program. The Grantee shall also display in a prominent place, located near the passageway through which the public enters in order to receive Grant supported services, a sign at least eleven inches (11") in height and seventeen inches (17")

in width stating:

NOTICE: THIS AGENCY IS A RECIPIENT OF TAXPAYER FUNDING. IF YOU OBSERVE AN AGENCY DIRECTOR OR EMPLOYEE ENGAGING IN ANY ACTIVITY WHICH YOU CONSIDER TO BE ILLEGAL, IMPROPER, OR WASTEFUL, PLEASE CALL THE STATE COMPTROLLER'S TOLL-FREE HOTLINE: 1-800-232-5454.

The sign shall be on the form prescribed by the Comptroller of the Treasury. The Grantor State Agency shall obtain copies of the sign from the Comptroller of the Treasury, and upon request from the Grantee, provide Grantee with any necessary signs.

D.13. Public Notice. All notices, informational pamphlets, press releases, research reports, signs, and similar public notices prepared and released by the Grantee in relation to this Grant Contract shall include the statement, "This project is funded under a grant contract with the State of Tennessee." All notices by the Grantee in relation to this Grant Contract shall be approved by the State.

D.14. Licensure. The Grantee, its employees, and any approved subcontractor shall be licensed pursuant to all applicable federal, state, and local laws, ordinances, rules, and regulations and shall upon request provide proof of all licenses.

D.15. Records. The Grantee and any approved subcontractor shall maintain documentation for all charges under this Grant Contract. The books, records, and documents of the Grantee and any approved subcontractor, insofar as they relate to work performed or money received under this Grant Contract, shall be maintained in accordance with applicable Tennessee law. In no case shall the records be maintained for a period of less than five (5) full years from the date of the final payment. The Grantee's records shall be subject to audit at any reasonable time and upon reasonable notice by the Grantor State Agency, the Comptroller of the Treasury, or their duly appointed representatives.

The records shall be maintained in accordance with Governmental Accounting Standards Board (GASB) Accounting Standards or the Financial Accounting Standards Board (FASB) Accounting Standards Codification, as applicable, and any related AICPA Industry Audit and Accounting guides.

In addition, documentation of grant applications, budgets, reports, awards, and expenditures will be maintained in accordance with U.S. Office of Management and Budget's *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.

Grant expenditures shall be made in accordance with local government purchasing policies and procedures and purchasing procedures for local governments authorized under state law.

The Grantee shall also comply with any recordkeeping and reporting requirements prescribed by the Tennessee Comptroller of the Treasury.

The Grantee shall establish a system of internal controls that utilize the COSO Internal Control - Integrated Framework model as the basic foundation for the internal control system. The Grantee shall incorporate any additional Comptroller of the Treasury directives into its internal control system.

Any other required records or reports which are not contemplated in the above standards shall follow the format designated by the head of the Grantor State Agency, the Central Procurement Office, or the Commissioner of Finance and Administration of the State of Tennessee.

D.16. Monitoring. The Grantee's activities conducted and records maintained pursuant to this Grant Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.

D.17. Progress Reports. The Grantee shall submit brief, periodic, progress reports to the State as requested.

D.18. Annual and Final Reports. The Grantee shall submit, within three (3) months of the conclusion of each year of the Term, an annual report. For grant contracts with a term of less than one (1) year, the Grantee shall submit a final report within three (3) months of the conclusion of the Term. For grant contracts with multiyear terms, the final report will take the place of the annual report for the final year of the Term. The Grantee shall submit annual and final reports to the Grantor State Agency and the Department of Finance and Administration ("F&A"). Send electronic copies of annual and final reports to F&A at fa.audit@tn.gov. At minimum, annual and final reports shall include: (a) the Grantee's name; (b) the Grant Contract's Edison identification number, Term, and total amount; (c) a narrative section that describes the program's goals, outcomes, successes and setbacks, whether the Grantee used benchmarks or indicators to determine progress, and whether any proposed activities were not completed; and (d) other relevant details requested by the Grantor State Agency. Annual and final report documents to be completed by the Grantee shall appear on the Grantor State Agency's website or as an attachment to the Grant Contract.

D.19. Audit Report. The Grantee shall be audited in accordance with applicable Tennessee law. If the Grantee is subject to an audit under this provision, then the Grantee shall complete Attachment 8.

When a federal single audit is required, the audit shall be performed in accordance with U.S. Office of Management and Budget's *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.

A copy of the audit report shall be provided to the Comptroller by the licensed, independent public accountant. Audit reports shall be made available to the public.

D.20. Procurement. If other terms of this Grant Contract allow reimbursement for the cost of goods, materials, supplies, equipment, or contracted services, such procurement shall be made on a competitive basis, including the use of competitive bidding procedures, where practical. The Grantee shall maintain documentation for the basis of each procurement for which reimbursement is paid pursuant to this Grant Contract. In each instance where it is determined that use of a competitive procurement method is not practical, supporting documentation shall include a written justification for the decision and for use of a non-competitive procurement. If the Grantee is a subrecipient, the Grantee shall comply with 2 C.F.R. §§ 200.317—300.326 when procuring property and services under a federal award.

The Grantee shall obtain prior approval from the State before purchasing any equipment under this Grant Contract.

For purposes of this Grant Contract, the term "equipment" shall include any article of nonexpendable, tangible, personal property having a useful life of more than one year and an acquisition cost which equals or exceeds five thousand dollars (\$5,000.00).

D.21. Strict Performance. Failure by any party to this Grant Contract to insist in any one or more cases upon the strict performance of any of the terms, covenants, conditions, or provisions of this Grant Contract is not a waiver or relinquishment of any term, covenant, condition, or provision. No term or condition of this Grant Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the parties.

D.22. Independent Contractor. The parties shall not act as employees, partners, joint venturers, or associates of one another in the performance of this Grant Contract. The parties acknowledge that they are independent contracting entities and that nothing in this Grant Contract shall be construed to create a principal/agent relationship or to allow either to exercise control or direction over the manner or method by which the other transacts its business affairs or provides its usual services. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purpose whatsoever.

D.23. Limitation of State's Liability. The State shall have no liability except as specifically provided in this Grant Contract. In no event will the State be liable to the Grantee or any other party for any lost revenues, lost profits, loss of business, loss of grant funding, decrease in the value of any

securities or cash position, time, money, goodwill, or any indirect, special, incidental, punitive, exemplary or consequential damages of any nature, whether based on warranty, contract, statute, regulation, tort (including but not limited to negligence), or any other legal theory that may arise under this Grant Contract or otherwise. The State's total liability under this Grant Contract (including any exhibits, schedules, amendments or other attachments to the Contract) or otherwise shall under no circumstances exceed the Maximum Liability originally established in Section C.1 of this Grant Contract. This limitation of liability is cumulative and not per incident.

- D.24. Force Majeure. "Force Majeure Event" means fire, flood, earthquake, elements of nature or acts of God, wars, riots, civil disorders, rebellions or revolutions, acts of terrorism or any other similar cause beyond the reasonable control of the party except to the extent that the non-performing party is at fault in failing to prevent or causing the default or delay, and provided that the default or delay cannot reasonably be circumvented by the non-performing party through the use of alternate sources, workarounds plans or other means. A strike, lockout or labor dispute shall not excuse either party from its obligations under this Grant Contract. Except as set forth in this Section, any failure or delay by a party in the performance of its obligations under this Grant Contract arising from a Force Majeure Event is not a default under this Grant Contract or grounds for termination. The non-performing party will be excused from performing those obligations directly affected by the Force Majeure Event, and only for as long as the Force Majeure Event continues, provided that the party continues to use diligent, good faith efforts to resume performance without delay. The occurrence of a Force Majeure Event affecting Grantee's representatives, suppliers, subcontractors, customers or business apart from this Grant Contract is not a Force Majeure Event under this Grant Contract. Grantee will promptly notify the State of any delay caused by a Force Majeure Event (to be confirmed in a written notice to the State within one (1) day of the inception of the delay) that a Force Majeure Event has occurred, and will describe in reasonable detail the nature of the Force Majeure Event. If any Force Majeure Event results in a delay in Grantee's performance longer than forty-eight (48) hours, the State may, upon notice to Grantee: (a) cease payment of the fees until Grantee resumes performance of the affected obligations; or (b) immediately terminate this Grant Contract or any purchase order, in whole or in part, without further payment except for fees then due and payable. Grantee will not increase its charges under this Grant Contract or charge the State any fees other than those provided for in this Grant Contract as the result of a Force Majeure Event.
- D.25. Tennessee Department of Revenue Registration. The Grantee shall comply with all applicable registration requirements contained in Tenn. Code Ann. §§ 67-6-601 – 608. Compliance with applicable registration requirements is a material requirement of this Grant Contract.
- D.26. Charges to Service Recipients Prohibited. The Grantee shall not collect any amount in the form of fees or reimbursements from the recipients of any service provided pursuant to this Grant Contract.
- D.27. No Acquisition of Equipment or Motor Vehicles. This Grant Contract does not involve the acquisition and disposition of equipment or motor vehicles acquired with funds provided under this Grant Contract.
- D.28. State and Federal Compliance. The Grantee shall comply with all applicable state and federal laws and regulations in the performance of this Grant Contract. The U.S. Office of Management and Budget's Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards is available here: http://www.ecfr.gov/cgi-bin/text-idx?SID=c6b2f053952359ba94470ad3a7c1a975&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- D.29. Governing Law. This Grant Contract shall be governed by and construed in accordance with the laws of the State of Tennessee. The Grantee agrees that it will be subject to the exclusive jurisdiction of the courts of the State of Tennessee in actions that may arise under this Grant Contract. The Grantee acknowledges and agrees that any rights or claims against the State of Tennessee or its employees hereunder, and any remedies arising there from, shall be subject to and limited to those rights and remedies, if any, available under Tenn. Code Ann. §§ 9-8-101 through 9-8-407.

- D.30. Completeness. This Grant Contract is complete and contains the entire understanding between the parties relating to the subject matter contained herein, including all the terms and conditions agreed to by the parties. This Grant Contract supersedes any and all prior understandings, representations, negotiations, or agreements between the parties, whether written or oral.
- D.31. Severability. If any terms and conditions of this Grant Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions shall not be affected and shall remain in full force and effect. To this end, the terms and conditions of this Grant Contract are declared severable.
- D.32. Headings. Section headings are for reference purposes only and shall not be construed as part of this Grant Contract.
- D.33. Iran Divestment Act. The requirements of Tenn. Code Ann. § 12-12-101, *et seq.*, addressing contracting with persons as defined at Tenn. Code Ann. §12-12-103(5) that engage in investment activities in Iran, shall be a material provision of this Grant Contract. The Grantee certifies, under penalty of perjury, that to the best of its knowledge and belief that it is not on the list created pursuant to Tenn. Code Ann. § 12-12-106.
- D.34. Debarment and Suspension. The Grantee certifies, to the best of its knowledge and belief, that it, its current and future principals, its current and future subcontractors and their principals:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal or state department or agency;
 - b. have not within a three (3) year period preceding this Grant Contract been convicted of, or had a civil judgment rendered against them from commission of fraud, or a criminal offence in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or grant under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;
 - c. are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses detailed in section b. of this certification; and
 - d. have not within a three (3) year period preceding this Grant Contract had one or more public transactions (federal, state, or local) terminated for cause or default.

The Grantee shall provide immediate written notice to the State if at any time it learns that there was an earlier failure to disclose information or that due to changed circumstances, its principals or the principals of its subcontractors are excluded or disqualified, or presently fall under any of the prohibitions of sections a-d.

E. SPECIAL TERMS AND CONDITIONS:

- E.1. Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Grant Contract, the special terms and conditions shall be subordinate to the Grant Contract's other terms and conditions.
- E.2. Confidentiality of Records. Strict standards of confidentiality of records and information shall be maintained in accordance with applicable state and federal law. All material and information, regardless of form, medium or method of communication, provided to the Grantee by the State or acquired by the Grantee on behalf of the State that is regarded as confidential under state or federal law shall be regarded as "Confidential Information." Nothing in this Section shall permit Grantee to disclose any Confidential Information, regardless of whether it has been disclosed or made available to the Grantee due to intentional or negligent actions or inactions of agents

of the State or third parties. Confidential Information shall not be disclosed except as required or permitted under state or federal law. Grantee shall take all necessary steps to safeguard the confidentiality of such material or information in conformance with applicable state and federal law.

The obligations set forth in this Section shall survive the termination of this Grant Contract.

- E.3. Printing Authorization. The Grantee agrees that no publication coming within the jurisdiction of Tenn. Code Ann. § 12-7-101, *et seq.*, shall be printed pursuant to this Grant Contract unless a printing authorization number has been obtained and affixed as required by Tenn. Code Ann. § 12-7-103(d).
- E.4. Work Papers Subject to Review. The Grantee shall make all audit, accounting, or financial analysis work papers, notes, and other documents available for review by the Comptroller of the Treasury or his representatives, upon request, during normal working hours either while the analysis is in progress or subsequent to the completion of this Grant Contract.
- E.5. Environmental Tobacco Smoke. Pursuant to the provisions of the federal "Pro-Children Act of 1994" and the Tennessee "Children's Act for Clean Indoor Air of 1995," the Grantee shall prohibit smoking of tobacco products within any indoor premises in which services are provided to individuals under the age of eighteen (18) years. The Grantee shall post "no smoking" signs in appropriate, permanent sites within such premises. This prohibition shall be applicable during all hours, not just the hours in which children are present. Violators of the prohibition may be subject to civil penalties and fines. This prohibition shall apply to and be made part of any subcontract related to this Grant Contract.
- E.6. Federal Funding Accountability and Transparency Act (FFATA).

This Grant Contract requires the Grantee to provide supplies or services that are funded in whole or in part by federal funds that are subject to FFATA. The Grantee is responsible for ensuring that all applicable FFATA requirements, including but not limited to those below, are met and that the Grantee provides information to the State as required. The Grantee shall comply with the following:

- a. Reporting of Total Compensation of the Grantee's Executives.
- (1) The Grantee shall report the names and total compensation of each of its five most highly compensated executives for the Grantee's preceding completed fiscal year, if in the Grantee's preceding fiscal year it received:
- i. 80 percent or more of the Grantee's annual gross revenues from Federal procurement contracts and federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub awards); and
 - ii. \$25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act (and sub awards); and
 - 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 § 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>).

As defined in 2 C.F.R. § 170.315, "Executive" means officers, managing partners, or any other employees in management positions.

- (2) Total compensation means the cash and noncash dollar value earned by the executive during the Grantee'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.
- b. The Grantee must report executive total compensation described above to the State by the end of the month during which this Grant Contract is established.
- c. If this Grant Contract is amended to extend its term, the Grantee must submit an executive total compensation report to the State by the end of the month in which the amendment to this Grant Contract becomes effective.
- d. The Grantee will obtain a Data Universal Numbering System (DUNS) number and maintain its DUNS number for the term of this Grant Contract. More information about obtaining a DUNS Number can be found at: <http://fedgov.dnb.com/webform/>.

The Grantee's failure to comply with the above requirements is a material breach of this Grant for which the State may terminate this Grant for cause. The State will not be obligated to pay any outstanding invoice received from the Grantee unless and until the Grantee is in full compliance with the above requirements.

E.7. Contractor Hosted Services and Confidential Data.

- a. "Confidential State Data" is defined as data deemed confidential by State or Federal statute or regulation. The Contractor shall protect Confidential State Data as follows:
- (1) The Contractor shall ensure that all Confidential State Data is housed in the continental United States, inclusive of backup data.
 - (2) The Contractor shall encrypt Confidential State Data at rest and in transit using the current version of Federal Information Processing Standard ("FIPS") 140-2 validated encryption technologies.
 - (3) The Contractor's processing environment containing Confidential State Data shall be in Funding. In accordance with at least one of the following security standards: (i) International Standards Organization ("ISO") 27001; (ii) Federal Risk and Authorization Management Program ("FedRAMP"); or (iii) American Institute of Certified Public Accountants ("AICPA") Service Organization Controls ("SOC") 2 Type II certified. The Contractor shall provide proof of current certification annually and upon State request.

- (4) The Contractor must comply with the State's Enterprise Information Security Policies. This document is found at the following URL: <https://www.tn.gov/content/dam/tn/finance/documents/Enterprise-Information-Security-Policies-ISO-27002-Public.pdf>.
- (5) In the event that the operating system is an integral part of the application, the Contractor agrees to maintain Operating Systems at current, manufacturer supported versions. "Operating System" shall mean the software that supports a computer's basic functions, such as scheduling tasks, executing applications, and controlling peripherals.
- (6) The Contractor agrees to maintain the Application so that it will run on a current, manufacturer-supported Operating System. "Application" shall mean the computer code that supports and accomplishes the State's requirements 317 Operations – those required activities and expenses related to conducting routine/required surveys (i.e., Day Care/Child Care and Head Start Center surveys, twenty-four (24) month old surveys, as set forth in this Contract. The Contractor shall make sure that the Application is at all times fully compatible with a manufacturer-supported Operating System; the State shall not be required to run an Operating System that is no longer supported by the manufacturer.
- (7) If the Application requires middleware or database software, Contractor shall maintain middleware and database software versions that are at all times fully compatible with current versions of the Operating System and Application, to ensure that security vulnerabilities are not introduced.
- (8) With advance notice from the State, and no more than one (1) time per year the Contractor agrees to allow the State to perform logical and physical audits of the Contractor's facility and systems that are hosting Confidential State Data.
- (9) The Contractor must annually perform Penetration Tests and Vulnerability Assessments against its Processing Environment. "Processing Environment" shall mean the combination of software and hardware on which the Application runs. "Penetration Tests" shall be in the form of software attacks on the Contractor's computer system, with the purpose of discovering security weaknesses, and potentially gaining access to the computer's features and data. The "Vulnerability Assessment" shall have the goal of defining, identifying, and classifying the security holes (vulnerabilities) in the Contractor's computer, network, or communications infrastructure. The Contractor shall allow the State, at its option, to perform Penetration Tests and Vulnerability Assessments on the Contractor's Processing Environment.
- b. Business Continuity Requirements. The Contractor shall maintain set(s) of documents, instructions, and procedures which enable the Contractor to respond to accidents, disasters, emergencies, or threats without any stoppage or hindrance in its key operations ("Business Continuity Requirements"). Business Continuity Requirements shall include:
- (1) "Disaster Recovery Capabilities" refer to the actions the Contractor takes to meet the Recovery Point and Recovery Time Objectives defined below. Disaster Recovery Capabilities shall meet the following objectives:
- i. Recovery Point Objective ("RPO"). The RPO is defined as the maximum targeted period in which data might be lost from an IT service due to a major incident: one (1) hour.
 - ii. Recovery Time Objective ("RTO"). The RTO is defined as the targeted duration of time and a service level within which a business process must be restored

after a disaster (or disruption) in order to avoid unacceptable consequences associated with a break in business continuity: 24 hours.

- (2) The Contractor shall perform at least one Disaster Recovery Test every three hundred sixty-five (365) days. A "Disaster Recovery Test" shall mean the process of verifying the success of the restoration procedures that are executed after a critical IT failure or disruption occurs. The Disaster Recovery Test shall use actual State Data Sets that mirror production data, and success shall be defined as the Contractor verifying that the Contractor can meet the State's RPO and RTO requirements. A "Data Set" is defined as a collection of related sets of information that is composed of separate elements but can be manipulated as a unit by a computer. The Contractor shall provide written confirmation to the State after each Disaster Recover Test that its Disaster Recovery Capabilities meet the RPO and RTO requirements.
- c. Upon State request, the Contractor shall provide a copy of all Confidential State Data it holds. The Contractor shall provide such data on media and in a format determined by the State.
- d. Upon termination of this Contract and in consultation with the State, the Contractor shall destroy all Confidential State Data it holds (including any copies such as backups) in accordance with the current version of National Institute of Standards and Technology ("NIST") Special Publication 800-88. The Contractor shall provide a written confirmation of destruction to the State within ten (10) business days after destruction.
- E.8. Personally Identifiable Information. While performing its obligations under this Contract, Contractor may have access to Personally Identifiable Information held by the State ("PII"). For the purposes of this Contract, "PII" includes "Nonpublic Personal Information" as that term is defined in Title V of the Gramm-Leach-Bliley Act of 1999 or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time ("GLBA") and personally identifiable information and other data protected under any other applicable laws, rule or regulation of any jurisdiction relating to disclosure or use of personal information ("Privacy Laws"). Contractor agrees it shall not do or omit to do anything which would cause the State to be in breach of any Privacy Laws. Contractor shall, and shall cause its employees, agents and representatives to: (i) keep PII confidential and may use and disclose PII only as necessary to carry out those specific aspects of the purpose for which the PII was disclosed to Contractor and in accordance with this Contract, GLBA and Privacy Laws; and (ii) implement and maintain appropriate technical and organizational measures regarding information security to: (A) ensure the security and confidentiality of PII; (B) protect against any threats or hazards to the security or integrity of PII; and (C) prevent unauthorized access to or use of PII. Contractor shall immediately notify State: (1) of any disclosure or use of any PII by Contractor or any of its employees, agents and representatives in breach of this Contract; and (2) of any disclosure of any PII to Contractor or its employees, agents and representatives where the purpose of such disclosure is not known to Contractor or its employees, agents and representatives. The State reserves the right to review Contractor's policies and procedures used to maintain the security and confidentiality of PII and Contractor shall, and cause its employees, agents and representatives to, comply with all reasonable requests or directions from the State to enable the State to verify and/or procure that Contractor is in full compliance with its obligations under this Contract in relation to PII. Upon termination or expiration of the Contract or at the State's direction at any time in its sole discretion, whichever is earlier, Contractor shall immediately return to the State any and all PII which it has received under this Contract and shall destroy all records of such PII.

The Contractor shall report to the State any instances of unauthorized access to or potential disclosure of PII in the custody or control of Contractor ("Unauthorized Disclosure") that come to the Contractor's attention. Any such report shall be made by the Contractor within twenty-four (24) hours after the Unauthorized Disclosure has come to the attention of the Contractor. Contractor shall take all necessary measures to halt any further Unauthorized Disclosures. The Contractor, at the sole discretion of the State, shall provide no cost credit monitoring services for individuals whose PII was affected by the Unauthorized Disclosure. The Contractor shall bear the

cost of notification to all individuals affected by the Unauthorized Disclosure, including individual letters and public notice. The remedies set forth in this Section are not exclusive and are in addition to any claims or remedies available to this State under this Contract or otherwise available at law.

E.9. Health Care Data. The Grantee shall provide data reports about health care services provided under this Grant using the Department of Health's Patient Tracking and Billing Management Information System (or its successor). Data regarding health care services provided by the Grantee shall be coded and entered into the Patient Tracking and Billing Management Information System (PTBMIS), using the PTBMIS Codes Manual. The PTBMIS Codes manual is available electronically at <http://hsaintranet.health.tn.gov/> and e-mail notices shall be sent to the Grantee regarding new revisions and/or updates, which can be accessed through the above- referenced website.

On a schedule defined by the State, the Grantee shall submit Central Office Database Report (CODB) files, as defined in PTBMIS, electronically to the State. The Grantee shall also submit other health care data reports, as requested by the State, and in a format acceptable to the State.

E.10. Equal Opportunity. As a condition for receipt of grant funds, the Grantee agrees to comply with 41 C.F. R. § 60-1.4 as that section is amended from time to time during the term.

E.11. CFDA Number(s). When applicable, the Grantee shall inform its licensed independent public accountant of the federal regulations that are to be complied with in performance of an audit. This information shall consist of the following Catalog of Federal Domestic Assistance Numbers:

93.268 – Immunization Grants.

IN WITNESS WHEREOF, the parties have by their duly authorized representatives set their signatures.

METROPOLITAN GOVERNMENT OF NASHVILLE AND DAVIDSON COUNTY

See next page
William S. Paul, M.D.
Director, Metro Public Health Department

Date

See next page
Carol Etherington, MSN, RN, FAAN
Chair, Board of Health

Date

APPROVED AS TO AVAILABILITY OF FUNDS:

See next page
Talia Lomax-O'dneal
Director, Department of Finance

Date

APPROVED AS TO RISK AND INSURANCE:

See next page

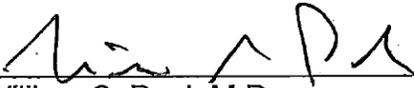
Director of Risk Management Services

Date

IMMUNIZATION SERVICES

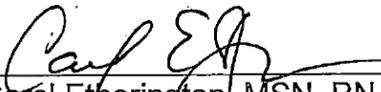
IN WITNESS WHEREOF, the parties have by their duly authorized representatives set their signatures.

METROPOLITAN GOVERNMENT OF NASHVILLE AND DAVIDSON COUNTY



William S. Paul, M.D.
Director, Metro Public Health Department

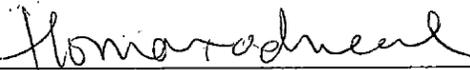
8-16-2018
Date



Carol Etherington, MSN, RN, FAAN
Chair, Board of Health

8-16-2018
Date

APPROVED AS TO AVAILABILITY OF FUNDS:



Talia Lomax-O'dneal #
Director, Department of Finance

8-30-18
Date

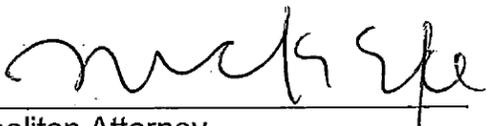
APPROVED AS TO RISK AND INSURANCE:



Director of Risk Management Services

9/4/18
Date

APPROVED AS TO FORM AND LEGALITY:



Metropolitan Attorney

9/4/18
Date

David Briley
Metropolitan Mayor

Date

ATTEST:

Metropolitan Clerk

Date

DEPARTMENT OF HEALTH:

John J Dreyzehner, M.D., MPH, FACOEM
Commissioner

Date

ATTACHMENT #1

Federal Award Identification Worksheet

Subrecipient's name (must match registered name in DUNS)	Metropolitan Government of Nashville and Davidson County
Subrecipient's DUNS number	078217668
Federal Award Identification Number (FAIN)	TBD
Federal award date	
CFDA number and name	93.268 – Immunization and Vaccines for Children Program
Grant contract's begin date	7/1/18
Grant contract's end date	6/30/19
Amount of federal funds obligated by this grant contract	\$230,000
Total amount of federal funds obligated to the subrecipient	
Total amount of the federal award to the pass-through entity (Grantor State Agency)	
Name of federal awarding agency	The Centers for Disease Control and Prevention
Name and contact information for the federal awarding official	Grants Management Officer Centers for Disease Control and Prevention Procurement and Grants Office Kroger Center, Colgate Building 2920 Brandywine Road, Mail Stop K Atlanta, GA 30341
Is the federal award for research and development?	No
Indirect cost rate for the federal award (See 2 C.F.R. §200.331 for information on type of indirect cost rate)	12.7%

GRANT BUDGET				
Metropolitan Government of Nashville and Davidson County - Immunization Services Roll-Up Budget (federal & state total)				
The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following Applicable Period: BEGIN: July 1, 2018 END: June 30, 2019				
POLICY 03 Object Line-item Reference	EXPENSE OBJECT LINE-ITEM CATEGORY ¹ (detail schedule(s) attached as applicable)	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT
1	Salaries ²	\$378,900.00	\$0.00	\$378,900.00
2	Benefits & Taxes	\$118,700.00	\$0.00	\$118,700.00
4, 15	Professional Fee/ Grant & Award ²	\$75,000.00	\$0.00	\$75,000.00
5	Supplies	\$34,240.00	\$0.00	\$34,240.00
6	Telephone	\$500.00	\$0.00	\$500.00
7	Postage & Shipping	\$1,000.00	\$0.00	\$1,000.00
8	Occupancy	\$0.00	\$0.00	\$0.00
9	Equipment Rental & Maintenance	\$0.00	\$0.00	\$0.00
10	Printing & Publications	\$0.00	\$0.00	\$0.00
11, 12	Travel/ Conferences & Meetings ²	\$2,400.00	\$0.00	\$2,400.00
13	Interest ²	\$0.00	\$0.00	\$0.00
14	Insurance	\$0.00	\$0.00	\$0.00
16	Specific Assistance To Individuals	\$0.00	\$0.00	\$0.00
17	Depreciation ²	\$0.00	\$0.00	\$0.00
18	Other Non-Personnel ²	\$0.00	\$0.00	\$0.00
20	Capital Purchase ²	\$0.00	\$0.00	\$0.00
22	Indirect Cost	\$26,300.00	\$0.00	\$26,300.00
24	In-Kind Expense	\$0.00	\$0.00	\$0.00
25	GRAND TOTAL	\$637,040.00	\$0.00	\$637,040.00

¹ Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Subrecipients of Federal and State Grant Monies*, Appendix A. (posted on the Internet at: <http://www.tn.gov/finance/topic/fa-policyinfo>).

² Applicable detail follows this page if line-item is funded.

GRANT BUDGET				
Metropolitan Government of Nashville and Davidson County - Immunization Services - 317 Operations				
The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following Applicable Period: BEGIN: July 1, 2018 END: June 30, 2019				
Object Line-Item Reference	EXPENSE OBJECT LINE-ITEM CATEGORY ¹ (detail schedule(s) attached as applicable)	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT
1	Salaries ²	\$78,100.00	\$0.00	\$78,100.00
2	Benefits & Taxes	\$31,100.00	\$0.00	\$31,100.00
4, 16	Professional Fee/ Grant & Award ²	\$0.00	\$0.00	\$0.00
5	Supplies	\$0.00	\$0.00	\$0.00
6	Telephone	\$0.00	\$0.00	\$0.00
7	Postage & Shipping	\$0.00	\$0.00	\$0.00
8	Occupancy	\$0.00	\$0.00	\$0.00
9	Equipment Rental & Maintenance	\$0.00	\$0.00	\$0.00
10	Printing & Publications	\$0.00	\$0.00	\$0.00
11, 12	Travel/ Conferences & Meetings ²	\$0.00	\$0.00	\$0.00
13	Interest ²	\$0.00	\$0.00	\$0.00
14	Insurance	\$0.00	\$0.00	\$0.00
16	Specific Assistance To Individuals	\$0.00	\$0.00	\$0.00
17	Depreciation ²	\$0.00	\$0.00	\$0.00
18	Other Non-Personnel ²	\$0.00	\$0.00	\$0.00
20	Capital Purchase ²	\$0.00	\$0.00	\$0.00
22	Indirect Cost (5.3% of salary & benefits)	\$5,800.00	\$0.00	\$5,800.00
24	In-Kind Expense	\$0.00	\$0.00	\$0.00
25	GRAND TOTAL	\$115,000.00	\$0.00	\$115,000.00

¹ Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Subrecipients of Federal and State Grant Monies*, Appendix A. (posted on the Internet at: <http://www.tn.gov/finance/topic/fa-policyinfo>).

² Applicable detail follows this page if line-item is funded.

ATTACHMENT 2 (continued)
GRANT BUDGET LINE-ITEM DETAIL
(BUDGET PAGE 3)

SALARIES (name and title)	mo	salary	mos	% of time	Longevity	AMOUNT
Tarah Amling, Public Health Nurse	\$	5,413.51	x 12	x 20.00%	+	\$12,992.42
Lisa Fenton, Public Health Nurse	\$	4,854.19	x 12	x 5.00%	+	\$2,912.51
Angelina Hooper, Public Health Nurse	\$	4,612.01	x 12	x 35.00%	+	\$19,370.44
Haydar Gerdi, Office Support Representative	\$	3,493.72	x 12	x 100.00%	+ \$ 935	\$42,859.64
TOTAL ROUNDED						\$78,100.00

GRANT BUDGET				
Metropolitan Government of Nashville and Davidson County - Immunization Services - PPHF Supplement				
The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following Applicable Period: BEGIN: July 1, 2018 END: June 30, 2019				
Object Line-Item Reference	EXPENSE OBJECT LINE-ITEM CATEGORY ¹ (detail schedule(s) attached as applicable)	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT
1	Salaries ²	\$195,000.00	\$0.00	\$195,000.00
2	Benefits & Taxes	\$45,300.00	\$0.00	\$45,300.00
4, 15	Professional Fee/ Grant & Award ²	\$75,000.00	\$0.00	\$75,000.00
5	Supplies	\$33,200.00	\$0.00	\$33,200.00
6	Telephone	\$0.00	\$0.00	\$0.00
7	Postage & Shipping	\$1,000.00	\$0.00	\$1,000.00
8	Occupancy	\$0.00	\$0.00	\$0.00
9	Equipment Rental & Maintenance	\$0.00	\$0.00	\$0.00
10	Printing & Publications	\$0.00	\$0.00	\$0.00
11, 12	Travel/ Conferences & Meetings ²	\$2,000.00	\$0.00	\$2,000.00
13	Interest ²	\$0.00	\$0.00	\$0.00
14	Insurance	\$0.00	\$0.00	\$0.00
16	Specific Assistance To Individuals	\$0.00	\$0.00	\$0.00
17	Depreciation ²	\$0.00	\$0.00	\$0.00
18	Other Non-Personnel ²	\$0.00	\$0.00	\$0.00
20	Capital Purchase ²	\$0.00	\$0.00	\$0.00
22	Indirect Cost (5.3% of salary & benefits)	\$12,700.00	\$0.00	\$12,700.00
24	In-Kind Expense	\$0.00	\$0.00	\$0.00
25	GRAND TOTAL	\$364,200.00	\$0.00	\$364,200.00

¹ Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Subrecipients of Federal and State Grant Monies*, Appendix A. (posted on the Internet at: <http://www.tn.gov/finance/topic/fa-policyinfo>).

² Applicable detail follows this page if line-item is funded.

ATTACHMENT 2 (continued)
 GRANT BUDGET LINE-ITEM DETAIL
 (BUDGET PAGE 5)

SALARIES (name and title)	mo salary	mos	% of time	Longevity	AMOUNT
Tarah Amling, Public Health Nurse	\$ 5,413.51	x 12	x 70.00%	+	\$45,473.48
Lisa Fenton, Public Health Nurse	\$ 4,854.19	x 12	x 65.00%	+ \$ 275	\$38,137.68
Angelina Hooper, Public Health Nurse	\$ 4,612.01	x 12	x 65.00%	+	\$35,973.68
Vacant, Communicable Disease Investigator	\$ 3,280.15	x 12	x 100.00%	+	\$39,361.80
Vacant, Office Support Specialist 1	\$ 3,007.89	x 12	x 100.00%	+	\$36,094.68
TOTAL ROUNDED					\$195,000.00

TRAVEL / CONFERENCES & MEETINGS (specify)	AMOUNT
Local Mileage	\$2,000.00
TOTAL	\$2,000.00

PROFESSIONAL FEES	AMOUNT
Temporary Nursing and Clerical Staff	\$70,000.00
Language Line - Interpreter	\$5,000.00
TOTAL	\$75,000.00

GRANT BUDGET				
Metropolitan Government of Nashville and Davidson County - Immunization Services - State Funded Activities				
The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following Applicable Period: BEGIN: July 1, 2018 END: June 30, 2019				
POLICY 03 Object Line-Item Reference	EXPENSE OBJECT LINE-ITEM CATEGORY ¹ (detail schedule(s) attached as applicable)	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT
1	Salaries ²	\$105,800.00	\$0.00	\$105,800.00
2	Benefits & Taxes	\$42,300.00	\$0.00	\$42,300.00
4, 15	Professional Fee/ Grant & Award ²	\$0.00	\$0.00	\$0.00
5	Supplies	\$1,040.00	\$0.00	\$1,040.00
6	Telephone	\$500.00	\$0.00	\$500.00
7	Postage & Shipping	\$0.00	\$0.00	\$0.00
8	Occupancy	\$0.00	\$0.00	\$0.00
9	Equipment Rental & Maintenance	\$0.00	\$0.00	\$0.00
10	Printing & Publications	\$0.00	\$0.00	\$0.00
11, 12	Travel/ Conferences & Meetings ²	\$400.00	\$0.00	\$400.00
13	Interest ²	\$0.00	\$0.00	\$0.00
14	Insurance	\$0.00	\$0.00	\$0.00
16	Specific Assistance To Individuals	\$0.00	\$0.00	\$0.00
17	Depreciation ²	\$0.00	\$0.00	\$0.00
18	Other Non-Personnel ²	\$0.00	\$0.00	\$0.00
20	Capital Purchase ²	\$0.00	\$0.00	\$0.00
22	Indirect Cost (5.3% of salary & benefits)	\$7,800.00	\$0.00	\$7,800.00
24	In-Kind Expense	\$0.00	\$0.00	\$0.00
25	GRAND TOTAL	\$157,840.00	\$0.00	\$157,840.00

¹ Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Subrecipients of Federal and State Grant Monies*, Appendix A. (posted on the Internet at: <http://www.tn.gov/finance/topic/fa-policyinfo>).

² Applicable detail follows this page if line-item is funded.

ATTACHMENT 2 (continued)
 GRANT BUDGET LINE-ITEM DETAIL
 (BUDGET PAGE 7)

SALARIES (name and title)	mo salary	mos	% of time	Longevity	AMOUNT
Patricia Alvarez, Outreach Worker	\$ 2,613.62	x 12	x 100.00%	+	\$31,363.44
Tarah Amling, Public Health Nurse	\$ 5,413.51	x 12	x 10.00%	+	\$6,496.21
Marie Guerrier, Outreach Worker	\$ 2,782.23	x 12	x 100.00%	+ \$ 358	\$33,744.76
Jacqueline Shivers-Furline, Office Support Representative	\$ 2,850.18	x 12	x 100.00%	+	\$34,202.16
TOTAL ROUNDED					\$105,800.00

TRAVEL / CONFERENCES & MEETINGS (specify)	AMOUNT
Local Mileage	\$400.00
TOTAL	\$400.00

ATTACHMENT #1

Federal Award Identification Worksheet

Subrecipient's name (must match registered name in DUNS)	Metropolitan Government of Nashville and Davidson County
Subrecipient's DUNS number	078217668
Federal Award Identification Number (FAIN)	TBD
Federal award date	
CFDA number and name	93.268 – Immunization and Vaccines for Children Program
Grant contract's begin date	7/1/18
Grant contract's end date	6/30/19
Amount of federal funds obligated by this grant contract	\$230,000
Total amount of federal funds obligated to the subrecipient	
Total amount of the federal award to the pass-through entity (Grantor State Agency)	
Name of federal awarding agency	The Centers for Disease Control and Prevention
Name and contact information for the federal awarding official	Grants Management Officer Centers for Disease Control and Prevention Procurement and Grants Office Kroger Center, Colgate Building 2920 Brandywine Road, Mail Stop K Atlanta, GA 30341
Is the federal award for research and development?	No
Indirect cost rate for the federal award (See 2 C.F.R. §200.331 for information on type of indirect cost rate)	12.7%

STATE OF TENNESSEE
INVOICE FOR REIMBURSEMENT

NAME AND REMITTANCE ADDRESS OF CONTRACTOR/GRANTEE				TDOH AGENCY INVOICE NUMBER (ONLY FOR FISCAL OFFICE USE)			
				INVOICE NUMBER			
				INVOICE DATE			
				INVOICE PERIOD			
FEDERAL ID#		Edison Vendor #		FROM TO			
CONTRACTING STATE AGENCY		Tennessee Department of Health		CONTRACT PERIOD			
PROGRAM AREA				FROM 7/1/2018 TO 6/30/2019			
EDISON CONTRACT NUMBER				CONTACT PERSON/TELEPHONE NO.			
OCR CONTRACT NUMBER				FOR CENTRAL OFFICE USE ONLY			
	(A)	(B)	(C)				
BUDGET	TOTAL	AMOUNT BILLED	MONTHLY				
LINE	CONTRACT	YTD	EXPENDITURES	SPEEDCHART NUMBER:			
ITEMS	BUDGET	(MO./DAY/YR.)	DUE	USERCODE:			
Salaries			\$0.00	See attached Worksheet.			
Benefits			\$0.00			SPEEDCHART NUMBER:	
Professional Fee/Grant & Award			\$0.00			USERCODE:	
Supplies			\$0.00			PROJECT ID:	
Telephone			\$0.00			AMOUNT:	
Postage & Shipping			\$0.00			SPEEDCHART NUMBER:	
Occupancy			\$0.00			USERCODE:	
Equipment Rental & Maintenance			\$0.00			PROJECT ID:	
Printing & Publications			\$0.00			AMOUNT:	
Travel/Conferences & Meetings			\$0.00			SPEEDCHART NUMBER:	
Interest			\$0.00			USERCODE:	
Insurance			\$0.00			PROJECT ID:	
Specific Assistance to Individuals			\$0.00			AMOUNT:	
Depreciation			\$0.00			SPEEDCHART NUMBER:	
Other Non Personnel			\$0.00			USERCODE:	
Capital Purchase			\$0.00			PROJECT ID:	
Indirect Cost			\$0.00			AMOUNT:	
TOTAL			\$0.00				

I certify to the best of my knowledge and belief that the data above are correct, that all expenditures were made in accordance with the contract conditions, and that payment is due and has not been previously requested.

Please check one of the following boxes

These services are for medical services

non-medical services

RECOMMENDED FOR PAYMENT

CONTRACTOR'S/GRANTEE'S AUTHORIZED SIGNATURE

PROGRAM APPROVAL AUTHORIZED SIGNATURE

CONTRACTING STATE AGENCY'S AUTHORIZED CERTIFICATION
FOR FISCAL USE ONLY

Title: _____

Date: _____

Title: _____

Date: _____

Title: _____

Date: _____

ATTACHMENT: 3a

County _____

Quarterly Immunization Grant Staff Report

_____ 2019

Name	Position Title	Responsibilities (sample wording below)	Salary (Annual)	% Funded by State Grant	% of time spent on Immunization Program
		Immunization Program coordinator oversees Imm program activities, assists with VFC/AFIX audits	\$	___% - 317 OPS ___% - State ___% - PPHF SUP	___%
		Enters/reviews immunization data in PTBMIS, provides customer service for Immunization Certificates/records, assists with data entry and review of Vaccine Preventable diseases in NBS	\$	___% - 317 OPS ___% - State ___% - PPHF SUP	___%
		Conducts Imm outreach	\$	___% - 317 OPS ___% - State ___% - PPHF SUP	___%
		Investigates vaccine preventable diseases, conducts VFC/AFIX audits, perinatal hepatitis B	\$	___% - 317 OPS ___% - State ___% - PPHF SUP	___%

(Quarterly report due: October 15th, 2018; January 15, 2019; April 15th, 2109 & July 15th, 2019)

Required Immunization & VFC Grant Activities and Funding Categories

As outlined by CDC, TIP has developed the following table to assist grantee sub-recipients in preparing budgets and funding accountability reports that are in compliance with federal grant policies.

Description of the Table Elements

- **Required Immunization Grant Activities** – this column specifies categories of activities required by the Federal Immunization and Vaccines for Children Grant and authorized by TIP
- **Description of Allowable Expenses** – this column details specific elements associated with each activity and specifies what can be funded with federal dollars.
- **Immunization Grant Funding Categories** – There is one (1) funding category under the Immunization/VFC grant. This category provides funding for the specific grant-related activities and the expenses associated with those activities. The funding category is listed from largest and least restrictive (317) to the smallest. An "X" in any one or more of the funding categories signifies that those funds may be used for expenses associated with the activity.

Required Immunization Grant Activities	Description of Activities and Allowable Expenses	Immunization Grant Funding Categories	
		317 OPS	PPHF Sup
VFC Provider Site Visits	<p>Related activities – (refer to the Immunization Program Field Staff Manual) Any interaction with public and private VFC providers to ensure compliance with VFC program requirements including, but not limited to the following</p> <ul style="list-style-type: none"> • Conducting VFC compliance &/or AFIX site visits, all VFC &/or site visit follow-up/provider contacts, VFC provider education/training, VFC enrollment/re-enrollment and/or relocation site visits, promotion of seasonal flu vaccination to VFC-enrolled providers, vaccine transport to/from VFC providers <p>Allowable expenses</p> <ul style="list-style-type: none"> • Salaries/wages including fringe/ benefits of those employees specified in the IMM/VFC grant performing these activities • Mileage reimbursement related to the performance of these activities <p>Note: only field staff who have been trained by central office staff are permitted to conduct these activities</p>	X	X
Routine Surveys Mandated by CDC Immunization Grant &/or TIP	<p>Related activities (Refer to Immunization Program Field Staff Manual)</p> <ul style="list-style-type: none"> • 24 month old surveys, School self-assessment validation surveys for all public and private Kindergarten classes, and any other surveys/audits mandated by CDC and required by the Immunization Grant <p>Allowable expenses</p> <ul style="list-style-type: none"> • Salaries/wages including fringe/benefits of those employees specified in the IMM/VFC grant performing these activities • Mileage reimbursement related to the performance of these activities 	X	X

Immunization Grant Funding Categories	Required
<p>Required Immunization Grant Activities</p> <p>Description of Activities, and Allowable-Expenses</p>	<p>Vaccine Preventable Disease (VPD) Surveillance and Investigation</p> <ul style="list-style-type: none"> • Specific immunization services related to outbreak prevention to control the spread of disease e.g. arranging immunization clinics &/or medical appointments as necessary to control the spread of disease. • Allowable expenses including fringe/benefits of those employees specified in the immunization grant performing these activities • Mileage reimbursement related to the performance of these activities <p>Related activities</p>
<p>317 OPS</p>	<p>PPHF Sup</p>
<p>X</p>	<p>X</p>
<p>Staff Training/Educational Activities</p>	<ul style="list-style-type: none"> • National Immunization Conference (every other year), TIP Annual Field Staff Training, new field staff training (VFC-AFIX & PHBP program staff) at central office, TIP Annual Spring Review, Perinatal Hep B Prevention Conference, Immunization Information System (IIS) training (systems currently referred to as TWIS and VIM). • Allowable expenses including fringe/benefits of those employees specified in the immunization grant performing these activities • Mileage reimbursement related to the performance of these activities • Conference registration • Travel expenses associated with approved activities (see "Travel" below) <p>Approved Activities</p>
<p>X</p>	<p>X</p>
<p>Pandemic Flu Activities</p>	<ul style="list-style-type: none"> • Activities used to increase seasonal influenza vaccination; specifically VFC-seasonal flu vaccination. *Note: Immunization field staff are required to promote seasonal flu vaccination during site visits. As such, you can charge a percentage of the time spent conducting site visits to Pan Flu. Allowable expenses including fringe/benefits of those employees specified in the IMM/VFC grant performing these activities (see also "VFC Provider Site Visits" above) • Mileage reimbursement related to the performance of these activities • Note: only field staff who have been trained by central office staff are permitted to conduct these activities <p>Related Activities</p>
<p>X</p>	<p>X</p>

Immunization Grant Activities	Description of Activities and Allowable Expenses	317 OPS	PPHF SUP
Perinatal Hepatitis B Prevention Program (PHBP)	Related Activities (refer to the PHBP manual) <ul style="list-style-type: none"> The identification and education of HBsAg-positive pregnant women and her contacts, comprehensive case management of infants and contacts, education of prenatal care-providers and key birthing hospital personnel, medical record review and hospital policy surveys Allowable expenses <ul style="list-style-type: none"> Salaries/wages including fringe/ benefits for designated PHBP Coordinator Serology for infant and identified contacts. Mileage reimbursement related to the performance of these activities 	X	X
Travel for Grant-related Activities	Approved Activities <ul style="list-style-type: none"> State/local/regional conferences/training (e.g. annual VFC field staff training, annual Immunization-VFC Spring Review, PHBP Coordinator training, new field staff training at central office) Local meetings/conferences excluding meals Allowable expenses <ul style="list-style-type: none"> In-state travel costs (e.g. mileage, hotel, per diem) Out of state travel costs (restricted to NIC, CDC-sponsored PHBP conference) 	X	X
General Supplies/Equipment	Allowable <ul style="list-style-type: none"> Printers Temperature monitors/thermometers/data loggers General office supplies (pens, paper, etc.) Vaccine administration supplies for emergency vaccination clinics Vaccine storage equipment for VFC vaccine Personal computers & laptops Copy machines 	X	X

Non-Allowable Expenses - The following expenses cannot be paid for with Immunization-VFC Grant funds

- Honoraria
- Advertising costs (convention displays, exhibits, meetings, memorabilia, gifts, souvenirs)
- Building purchases, construction, capital improvements
- Fundraising
- Research
- Supplies for routine clinical care (i.e., those immunization services NOT related to outbreak or surveillance activities)
- Salaries/wages etc for staff providing routine clinical services



ATTACHMENT #6

Annual (Final) Report*

1. Grantee Name:
2. Grant Contract Edison Number:
3. Grant Term: 7/1/2018 – 6/30/2019
4. Grant Amount:
5. Narrative Performance Details: *(Description of program goals, outcomes, successes and setbacks, benchmarks or indicators used to determine progress, any activities that were not completed.)*

Submit one copy to:

Catherine D. Haralson, Program Manager, Immunization Services
Catherine.D.Haralson@tn.gov

John D. Dreyzehner, MD, MPH, FCOEM, Commissioner, TN Department of Health; and

fa.audit@tn.gov, TN Department of Finance and Administration

Instructions & Hints

Do not send a worksheet that is linked to another file

Line by line instructions are on the "line by line info" tab

Retain this file in blank form

Use "File Save As" to save information for a specific contract or reporting period

File Names: Please use the following format when naming files.
name of agency REPORTING PERIOD END.xls
do not abbreviate the agency name

example: davidson county health MARCH 02.xls

Reporting period - the start and end dates of the quarter being reported

Reporting periods are based on the Agency's fiscal year

Grant period - the start and end dates of the contract being reported

Send a report for every quarter even if there is no activity for that quarter

Abbreviations - do not abbreviate the Agency name

Number pages using the "page ____ of ____ pages" format

THE WORKSHEET IS NOT PROTECTED

do not overwrite formulas (identified by yellow shading and "0") or change formats

do not overwrite/edit shaded areas (move to the cell beyond the shading for input)

do not add (insert) lines do not change shaded areas

Expense and Revenue pages can show information for 2 contracts

Use separate Schedules A & B to report contracts for each granting State agency

Use additional expense and revenue pages for more than 2 contracts

copy all lines & fields to the first blank line below the last line in column A

with the cursor at the start of the added page, use "insert" "page break" for print purposes

reset print range to cover the added page(s) and correct the page numbers

Contract Number is the State Contract Number, NOT the agency program number

Report by program within the State Contract Number within State Department

Summarize programs into totals by State Contract Number and State Department totals

Do not combine State Contract Numbers

One Funding Information Summary and one Schedule C are required from each contractor submitting reports

Review Section C in all contracts for reporting requirements

ALLOCATION OF ADMINISTRATIVE COSTS

Requires completion of all attached sheets

NOTE If files are not properly named and print ranges not set, the report will be returned for correction

Do not send invoices with expense reports

If a refund is due, mail reports with check or send note with e-mail that check in the mail.

e-mail completed files to: Policy3.AMO.Health@tn.gov

e-mail filing replaces mailing forms

or mailing Address:

Monaliz Hana

Telephone: 615-253-3406

Tennessee Department of Health

Fiscal Services

6th Floor Andrew Johnson Tower

710 James Robertson Parkway

Nashville, TN 37243

PROGRAM EXPENSE REPORT (Excerpted from Policy 3 statement)
SCHEDULE A
EXPENSE BY OBJECT LINE-ITEMS

There are seventeen specific object expense categories; two subtotals (Line 3, Total Personnel Expenses, and Line 19, Total Non-personnel Expenses); and Reimbursable Capital Purchases (Line 20), above Line 21, Total Direct Program Expenses. All expenses should be included in one or more of the specific categories, or in an additional expense category entered under Line 18, Other Non-personnel Expenses. The contracting state agency may determine these requirements.

With the exception of depreciation, everything reported in Lines 1 through 21 must represent an actual cash disbursement or accrual as defined in the Basis For Reporting Expenses/Expenditures section on page 13.

THE YEAR-TO-DATE EXPENSES MUST BE TRACEABLE TO THE REPORTING AGENCY'S GENERAL LEDGER

Line 1 Salaries And Wages

On this line, enter compensation, fees, salaries, and wages paid to officers, directors, trustees, and employees. An attached schedule may be required showing client wages or other included in the aggregations.

Line 2 Employee Benefits & Payroll Taxes

Enter (a) the organization's contributions to pension plans and to employee benefit programs such as health, life, and disability insurance; and (b) the organization's portion of payroll taxes such as social security and Medicare taxes and unemployment and workers' compensation insurance. An attached schedule may be required showing client benefits and taxes or other included in the aggregations.

Line 3 Total Personnel Expenses

Add lines 1 and 2.

Line 4 Professional Fees

Enter the organization's fees to outside professionals, consultants, and personal-service contractors. Include legal, accounting, and auditing fees. An attached schedule may be required showing the details in the aggregation of professional fees.

Line 5 Supplies

Enter the organization's expenses for office supplies, housekeeping supplies, food and beverages, and other supplies. An attached schedule may be required showing food expenses or other details included in the aggregations.

Line 6 Telephone

Enter the organization's expenses for telephone, cellular phones, beepers, telegram, FAX, E-mail, telephone equipment maintenance, and other related expenses.

Line 7 Postage And Shipping

Enter the organization's expenses for postage, messenger services, overnight delivery, outside mailing service fees, freight and trucking, and maintenance of delivery and shipping vehicles. Include vehicle insurance here or on line 14.

Line 8 Occupancy

Enter the organization's expenses for use of office space and other facilities, heat, light, power, other utilities, outside janitorial services, mortgage interest, real estate taxes, and similar expenses. Include property insurance here or on line 14.

Line 9 Equipment Rental And Maintenance

Enter the organization's expenses for renting and maintaining computers, copiers, postage meters, other office equipment, and other equipment, except for telephone, truck, and automobile expenses, reportable on lines 6, 7, and 11, respectively.

Line 10 Printing And Publications

Enter the organization's expenses for producing printed materials, purchasing books and publications, and buying subscriptions to publications.

Line 11 Travel

Enter the organization's expenses for travel, including transportation, meals and lodging, and per diem payments. Include gas and oil, repairs, licenses and permits, and leasing costs for company vehicles. Include travel expenses for meetings and conferences. Include vehicle insurance here or on line 14.

Line 12 Conferences And Meetings

Enter the organization's expenses for conducting or attending meetings, conferences, and conventions. Include rental of facilities, speakers' fees and expenses, printed materials, and registration fees (but not travel).

Line 13 Interest

Enter the organization's interest expense for loans and capital leases on equipment, trucks and automobiles, and other notes and loans. Do not include mortgage interest reportable on line 8.

Line 14 Insurance

Enter the organization's expenses for liability insurance, fidelity bonds, and other insurance. Do not include employee-related insurance reportable on line 2. Do not include property and vehicle insurance if reported on lines 7, 8, or 11.

Line 15 Grants And Awards

Enter the organization's awards, grants, subsidies, and other pass-through expenditures to individuals and to other organizations. Include allocations to affiliated organizations. Include in-kind grants to individuals and organizations. Include scholarships, tuition payments, travel allowances, and equipment allowances to clients and individual beneficiaries. Pass-through funds are not included when computing administrative expenses reported on Line 22.

Line 16 Specific Assistance to Individuals

Enter the organization's direct payment of expenses of clients, patients, and individual beneficiaries. Include such expenses as medicines, medical and dental fees, children's board, food and homemaker services, clothing, transportation, insurance coverage, and wage supplements.

Line 17 Depreciation

Enter the expenses the organization records for depreciation of equipment, buildings, leasehold improvements, and other depreciable fixed assets.

Line 18 Other Non-personnel Expenses

NOTE: Expenses reportable on lines 1 through 17 should not be reported in an additional expense category on line 18. A description should be attached for each additional category entered on line 18. The contracting state agency may determine these requirements.

Enter the organization's allowable expenses for advertising (1), bad debts (2), contingency provisions (7), fines and penalties (14), independent research and development (reserved) (17), organization (27), page charges in professional journals (29), rearrangement and alteration (39), recruiting (41), and taxes (47). Include the organization's and employees' membership dues in associations and professional societies (26). Include other fees for the organization's licenses, permits, registrations, etc.

Line 19 Total Non-personnel Expenses

Add lines 4 through 18.

Line 20 Reimbursable Capital Purchases

Enter the organization's purchases of fixed assets. Include land, equipment, buildings, leasehold improvements, and other fixed assets. An attached schedule may be required showing the details for each such purchase.

Line 21 Total Direct Program Expenses

Add lines 3, 19, and 20.

Includes direct and allocated direct program expenses.

Line 22 Administrative Expenses

The distribution will be made in accordance with an allocation plan approved by your cognizant state agency.

Line 23 Total Direct And Administrative Expenses

Line 23 is the total of Line 21, Total Direct Program Expenses, and Line 22, Administrative Expenses. Line 23, Total Direct and Administrative Expenses Year-to-Date should agree with the Total of Column B, Year-to-Date Actual Expenditures of the *Invoice for Reimbursement*.

Line 24 In-Kind Expenses

In-kind Expenses (Line 24) is for reporting the value of contributed resources applied to the program. Approval and reporting guidelines for in-kind contributions will be specified by those contracting state agencies who allow their use toward earning grant funds. Carry forward to Schedule B, Line 38.

Line 25 Total Expenses

The sum of Line 23, Total Direct and Administrative Expenses, and Line 24, In-kind Expenses, goes on this line.

**PROGRAM REVENUE REPORT (PRR)
SCHEDULE B
SOURCES OF REVENUE**

The revenue page is intended to be an extension of the total expenses page, in that the columns should match up by contract/attachment number and program title. There are ten revenue sources (Schedule B, Part 1) and three subtotals (Lines 33, 41, and 43). Additional supplemental schedules for one or more of the line items may be attached, if needed. Each revenue column should be aligned with its corresponding expense column from Schedule A.

Reimbursable Program Funds

Line 31 Reimbursable Federal Program Funds

Enter the portion of Total Direct & Administrative Expenses reported on Line 23, Schedule A, that is reimbursable from federal program funds. The state funding agency may require an attached detail listing and reconciliation schedule.

Line 32 Reimbursable State Program Funds

Enter the portion of Total Direct & Administrative Expenses reported on Line 23, Schedule A, that is reimbursable from state program funds. The state funding agency may require an attached detail listing and reconciliation schedule.

Line 33 Total Reimbursable Program Funds (Equals Schedule B, Line 55)

Add lines 31 and 32.

Matching Revenue Funds

Line 34 Other Federal Funds

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from other federal funds. The state funding agency may require an attached detail listing and reconciliation schedule.

Line 35 Other State Funds

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from other state funds. The state funding agency may require an attached detail listing and reconciliation schedule.

Line 36 Other Government Funds

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from other government funds. The state funding agency may require an attached detail listing and reconciliation schedule.

Line 37 Cash Contributions (Non-government)

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from such sources of cash contributions as corporations, foundations, trusts, individuals, United Ways, other not-for-profit organizations, and from affiliated organizations. The state funding agency may require an attached detail listing and reconciliation schedule.

Line 38 In-Kind Contributions (Equals Schedule A, Line 24)

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from direct and administrative in-kind contributions. The state funding agency may require an attached detail listing and reconciliation schedule. Approval and guidelines for valuation and reporting of in-kind contributions will be specified by those grantor agencies who allow their use toward earning grant funds.

Line 39 Program Income

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from program income related to the program funded by the state agency. The state funding agency may require an attached detail listing.

Line 40 Other Matching Revenue

Enter the portion of matching revenues reported on Line 54, Subtract Matching Expenses (Equals Line 41), that is from other revenues not included in lines 34 through 39. The state funding agency may require an attached detail listing.

Line 41 Total Matching Revenue Funds

Add lines 34 through 40

Line 42 Other Program Funds

Enter program income related to the program funded by the state agency but not reported as matching revenue funds on Line 54.

Line 43 Total Revenue

Add lines 33, 41, and 42

**RECONCILIATION BETWEEN TOTAL EXPENSES
AND REIMBURSABLE EXPENSES
SCHEDULE B - (Lines 51 to 59)**

This section, at the bottom of Schedule B, is for subtracting non-reimbursable amounts included in Total Expenses (Line 25, Schedule A and Line 51, Schedule B).

The first line of this section, Line 51, Total Expenses, is brought forward from the last last line of the corresponding Schedule A Total Expense Page.

There are three categories of adjustments for which titled lines are provided:

Line 52 OTHER UNALLOWABLE EXPENSES:

Some program expenses may not be reimbursable under certain grants. This is a matter between the contracting parties, and will vary according to the state agency involved and the type of grant or contract. Consult your contract or the department that funds the program for guidelines.

Line 53 EXCESS ADMINISTRATION:

This adjustment line may be used to deduct allocated Administration and General expenses in excess of an allowable percentage specified in the grant contract. It may also be used to deduct an adjustment resulting from limitations on certain components of Administration and General expenses. Again, the specific guidelines of the department and grant involved are the controlling factor.

Line 54 MATCHING EXPENSES (Equals Schedule B, Line 41)

Since the goal is to arrive at a reimbursable amount, the expenses paid out of other sources of funding, local support and program user fees for example, will have to be deducted. The amount left should be only that which is to be paid for by the contracting state agency.

**Line 55 REIMBURSABLE EXPENSES (Line 51 less Lines 52, 53, and 54)
(Equals Schedule B, Line 33)**

This is the amount that the contracting state agency will pay for the quarter's operations of the program. The cumulative column is what the grant actually paid to date.

Line 56 TOTAL REIMBURSEMENT-TO-DATE

In the quarter-to-date column, this is the total received for this quarter from filing of the

Invoice For Reimbursement. The cumulative column's amount is the total received for the grant year-to-date.

Line 57 DIFFERENCE (Line 55 less Line 56)

This is the portion of Reimbursable Expenses not yet paid.

Line 58 ADVANCES

Any advance payments for a grant should appear on this line.

Line 59 THIS REIMBURSEMENT (Line 57 less Line 58)

The remainder should be the amount due under the grant contract. Actual payments are made through the invoicing process and not through the filing of this report.

POLICY 3 REPORTING REQUIREMENTS - SUMMARY

Policy 3 requires reporting the entire operation of the Grantee agency. This could include numerous programs and contracts. Policy 3 requirements are outlined in each contract and are available on line at: <http://www.state.tn.us/finance/act/policyb.html>

The "Contractor/Grantee" is the agency receiving the state grant.

The "Contracting State Agency" is the state agency that gives the grant.

Reports are normally due 30 days after the close of the Grantee's accounting quarter and year, which may/may not coincide with the State accounting quarter and year end. Exact requirements are in the contract.

Policy 3 reporting requires one report from each contracting agency consisting of Schedules A, B, and C and a Funding Information Summary. Schedules A and B detail each program added to a contract total. Schedules A and B are designed to show 2 programs per page and there would be only one Schedule C per grantee. On Schedules A and B, programs that are not state funded can be rolled into a single program category. The lines on Schedule A for year-to-date information add across all programs/contracts to the corresponding line on the Schedule C - Grant contracts in the first column and non-grant operations in the second column.

The third column of the Schedule C shows Administrative Expenses incurred by the Grantee. Administrative expenses are generally those that benefit programs but are not directly associated with the program/contract. These could include the Executive Director, office operation, accounting staff, and other similar expenses. This column will also show the allocation of Administrative Expenses to the various programs/contracts, if this is done by the Grantee. If allocated, a negative on line 22 is equal to the Administrative Expense allocated to the grant and non-grant programs/contracts. Administrative Expenses may include some items that are not subject to allocation so the amount allocated may/may not equal the total Administrative Expense reported. Allocation of Administrative Expenses requires an approved allocation plan.

The fourth column of the Schedule C shows the total operation of the reporting grantee for the year-to-date. The Policy 3 report should, in total, match the total operation of the Grantee.

The funding Information Summary shows the method of allocating Administrative Expenses: If there is no approved allocation plan and the grantee does not allocate Administrative Expenses, then there is no entry on Schedule C, line 22 and no allocation to the programs/contracts. This form must be submitted with every report.

Tennessee Department of Health
Funding Information Summary

3/26/2018

AGENCY NAME Positively Living

ADDRESS _____

CITY, STATE, ZIP _____

REPORTING PERIOD: (MM/DD/YY) FROM: 7/1/2018 THRU: 6/30/2019

AGENCY FISCAL YEAR END (MM/DD) _____

COST ALLOCATION: DOES YOUR ORGANIZATION HAVE AN APPROVED COST ALLOCATION PLAN?

YES _____ NO _____

If yes, Name of organization that approved the Plan: _____

IF COST ALLOCATION IS APPLIED, INDICATE THE METHOD OF ALLOCATION:

Ratio of direct program salaries to total direct salaries applied to administrative cost. _____

Ratio of direct program expenditure to total direct expenditures applied to administrative cost. _____

Cost step down. _____

Other (describe) _____

Is your organization: A private not-for-profit organization?
 A state college or university, or part of a city government?

DIRECTOR _____ PHONE # _____

PREPARER OF REPORT _____ PHONE # _____

DATE COMPLETED _____

CONTRACTOR/GRANTEE

FEDERAL ID #

CONTRACTING STATE AGENCY

REPORT PERIOD

Program #	
Contract Number	
Grant Period	
Program Name	
Service Name	

Schedule B Item #	SOURCES OF REVENUE	QUARTER TO DATE	YEAR TO DATE	QUARTER TO DATE	YEAR TO DATE
31	Reimbursable Program Funds	0.00	0.00	0.00	0.00
32	Reimbursable Federal Program Funds				
33	Reimbursable State Program Funds				
	Total Reimbursable Program Funds (equals line 55)	0.00	0.00	0.00	0.00
	Matching Revenue Funds				
34	Other Federal Funds				
35	Other State Funds				
36	Other Government Funds				
37	Cash Contributions (non-government)				
38	In-Kind Contributions (equals line 24)	0.00	0.00	0.00	0.00
39	Program Income				
40	Other Matching Revenue				
41	Total Matching Revenue Funds (lines 34 - 40)	0.00	0.00	0.00	0.00
42	Other Program Funds				
43	Total Revenue (lines 33, 41, & 42)	0.00	0.00	0.00	0.00
	Reconciliation Between Total and Reimbursable Expenses				
51	Total Expenses (line 25)	0.00	0.00	0.00	0.00
52	Subtract Other Unallowable Expenses (contractual)				
53	Subtract Excess Administration Expenses (contractual)				
54	Subtract Matching Expenses (equals line 41)	0.00	0.00	0.00	0.00
55	Reimbursable Expenses (line 51 less lines 52,53,54)	0.00	0.00	0.00	0.00
56	Total Reimbursement To Date				
57	Difference (line 55 less line 56)	0.00	0.00	0.00	0.00
58	Advances	0.00	0.00	0.00	0.00
59	This reimbursement (line 57 less line 58)	0.00	0.00	0.00	0.00

CONTRACTOR/GRANTEE

FEDERAL ID #

CONTRACTING STATE AGENCY

REPORT PERIOD

Schedule A Year-To-Date Information.

EXPENSE BY OBJECT:

Item #	TOTAL DIRECT PROGRAM EXPENSES	YEAR TO DATE	TOTAL NONGRANT/ UNALLOWABLE EXPENSES	YEAR TO DATE	TOTAL ADMINISTRATIVE EXPENSES	YEAR TO DATE	GRAND TOTAL	YEAR TO DATE
1								0.00
2								0.00
3	0.00		0.00		0.00			0.00
4								0.00
5								0.00
6								0.00
7								0.00
8								0.00
9								0.00
10								0.00
11								0.00
12								0.00
13								0.00
14								0.00
15								0.00
16								0.00
17								0.00
18								0.00
a								0.00
b								0.00
c								0.00
d								0.00
19	0.00		0.00		0.00			0.00
20								0.00
21	0.00		0.00		0.00			0.00
22								0.00
23	0.00		0.00		0.00			0.00
24								0.00
25	0.00		0.00		0.00			0.00

Total Non-personnel Expenses
 Reimbursable Capital Purchases
TOTAL DIRECT PROGRAM EXPENSES
 Administrative Expenses
TOTAL DIRECT AND ADMINISTRATIVE EXPENSES
 In-Kind Expenses
TOTAL EXPENSES

Parent Child Information

The Grantee should complete this form and submit it with the Grant Contract. The Grantee should submit only one, completed "Parent Child Information" document to the State during the Grantee's fiscal year.

"Parent" means an entity whose IRS filing contains the information of at least one other entity.

"Child" means an entity whose information is contained in another entity's IRS filing.

Grantee's Edison Vendor ID number: 4

Is Metropolitan Gov't of Nashville and Davidson Co a parent? Yes No

If yes, provide the name and Edison Vendor ID number, if applicable, of any child entities.

Is Metropolitan Gov't of Nashville and Davidson Co. a child? Yes No

If yes, complete the fields below.

Parent entity's name: _____

Parent entity's tax identification number: _____

Note: If the parent entity's tax identification number is a social security number, this form must be submitted via US mail to:

Central Procurement Office, Grants Program Manager
3rd Floor, WRS Tennessee Tower
312 Rosa L Parks Avenue
Nashville, TN 37243

Parent entity's contact information

Name of primary contact person: _____

Address: _____

Phone number: _____

Email address: _____

Parent entity's Edison Vendor ID number, if applicable: _____