



Ray Perry
Grant Project Director
Kentucky Dept. of Insurance
215 West Main St.
Frankfort, Kentucky 40601

Dear Director Perry:

The Department of Health & Human Services (HHS), Office of Consumer Information & Insurance Oversight (OCIIO) is pleased to inform you that your application for the Affordable Care Act – Consumer Assistance Program Grants is awarded. Congratulations on your successful application. The Notice of Grant Award is included in the attachments to this Award Letter. These grants will be used to:

- Assist with the filing of complaints and appeals, including filing appeals with the internal appeal or grievance process of the group health plan or health insurance issuer involved and providing information about the external appeal process;
- Collect, track, and quantify problems and inquiries encountered by consumers;
- Educate consumers on their rights and responsibilities with respect to group health plans and health insurance coverage; and
- Assist consumers with enrollment in a group health plan or health insurance coverage by providing information, referral, and assistance.

Pursuant to the HHS Grants Policy Statement, there are terms and conditions associated with the provision of this grant and are also attached to this Award Letter. These include the Standard and Programmatic Terms and Conditions.

We at OCIIO thank you for your commitment to this program and we look forward to continued collaboration with your state as you embark upon your mission to establish or strengthen consumer assistance activities that will educate consumers about their health coverage options, empower consumers and ensure access to accurate information.

Sincerely,



Jay Angoff
Director

Department of Health and Human Services

Office of the Secretary

Office of Consumer Information and Insurance Oversight

Grants, Contracts and Integrity Division
7501 Wisconsin Ave West Tower
Room 10-15
Bethesda, MD 20814-6519

NOTICE OF GRANT AWARD

AUTHORIZATION (Legislation/Regulations)
Section 2793 of the Public Health Service Act (Section 1002 of the Affordable Care Act)

1. DATE ISSUED (Mo./Day/Yr.) 10/15/2010		2. CFDA NO. 93.519	
3. SUPERCEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded			
4. GRANT NO. 1 CAPCA110004-01-00 Formerly:		5. ADMINISTRATIVE CODES SCA	
6. PROJECT PERIOD Mo./Day/Yr. From 10/15/2010		Through 10/14/2011	
7. BUDGET PERIOD Mo./Day/Yr. From 10/15/2010		Through 10/14/2011	

8. TITLE OF PROJECT (OR PROGRAM) (Limit to 56 spaces)
Affordable Care Act (ACA) - Consumer Assistance Program Grants

9. GRANTEE NAME AND ADDRESS
a. Kentucky Department of Insurance
b. 215 W Main St
c.
d. Frankfort e. KY f. 40601-1805

10. DIRECTOR OF PROJECT (PROGRAM DIRECTOR/PRINCIPLE INVESTIGATOR)
(LAST NAME FIRST AND ADDRESS)
Ray Perry
215 W Main St
Frankfort, KY 40601
Phone: 502-564-6026

11. APPROVED BUDGET (Excludes HHS Direct Assistance)			
I HHS Grant Funds Only			
II Total project costs including grant funds and all other financial participation (Select one and place NUMERAL in box)			
a. Salaries and Wages	96,097		
b. Fringe Benefits	24,887		
c. Total Personnel Costs		120,984	
d. Consultants Costs		0	
e. Equipment		4,800	
f. Supplies		0	
g. Travel		50,000	
h. Patient Care - Inpatient		0	
i. Patient Care - Outpatient		0	
j. Alterations and Renovations		0	
k. Other		0	
l. Consortium/Contractual Costs		0	
m. Trainee Related Expenses		0	
n. Trainee Stipends		0	
o. Trainee Tuition and Fees		0	
p. Trainee Travel		0	
q. TOTAL DIRECT COSTS		175,784	
r. INDIRECT COSTS		40,000	
s. TOTAL APPROVED BUDGET	\$	215,784	
t. SBIR Fee			
u. Federal Share	\$	215,784	
v. Non-Federal Share	\$	0	

12. AWARD COMPUTATION FOR GRANT			
a. Amount of HHS Financial Assistance (from item 11.u)		215,784	
b. Less Unobligated Balance From Prior Budget Periods		0	
c. Less Cumulative Prior Award(s) This Budget Period		0	
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION		215,784	

13. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):			
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH):			
a. AMOUNT OF HHS Direct Assistance		0	
b. Less Unobligated Balance From Prior Budget Periods			
c. Less Cumulative Prior Award(s) This Budget Period			
d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION		0	

15. PROGRAM INCOME SUBJECT TO 45 CFR PART 74, SUBPART F, OR 45 CFR 92.25, SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:
(Select one and place LETTER in box.)

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

b

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, HHS ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:

- The grant program legislations cited above.
- The grant program regulation cited above.
- This award notice including terms and conditions, if any, noted below under REMARKS.
- HHS Grants Policy Statement including addenda in effect as of the beginning date of the budget period.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS: (Other Terms and Conditions Attached - Yes No)

Refer to the following Award Attachments: 1) Standard Terms and Conditions 2) Programmatic Terms and Conditions.

GRANTS MANAGEMENT OFFICER: (Signature) (Name - Typed/Print) (Title)
Michelle Feagins Senior Grants Management Specialist

17. OBJ CLASS	4121	18. CRS - EIN	1610600439T3	19. LIST NO.	CONG. DIST.:	06
FY-CAN	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	AMT ACTION DR ASST		
20. a.	1-199REB8	b. CAPCA0004A	c. SCA	d. 215,784	e.	0
21. a.		b.	c.	d.	e.	
22. a.		b.	c.	d.	e.	

AWARD ATTACHMENTS

Kentucky Department of Insurance

1 CAPCA110004-01-00

1. Standard Terms and Conditions
2. Programmatic Terms and Conditions

Office of Consumer Information and Insurance Oversight (OCIO)

Affordable Care Act - Consumer Assistance Program Grants

Standard Terms and Conditions

- I. The HHS/Office of Consumer Information and Insurance Oversight (OCIO) Program Official.** The Program Official assigned with responsibility for technical and programmatic questions from the Grantee is Eliza Bangit (Eliza.Bangit@hhs.gov).
- II. The HHS/OCIO Grants Management Specialist.** The Grants Management Specialist assigned with the responsibility for the financial and administrative aspects (non-programmatic areas) of grants administration questions from the Grantee is Michelle Feagins in the Division of Grants Management (Michelle.Feagins@hhs.gov).
- III. The HHS Grants Policy Statement (HHS GPS).** This grant is subject to the requirements of the HHS GPS that are applicable to the Grantee based on your recipient type and the purpose of this award. This includes any requirements in Part I and II (available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>) of the HHS GPS that apply to an award.
- IV. Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87).** This grant is subject to the requirements as set forth in Title 2 Part 225, State, Local, and Indian Tribal Governments (previously A-87).
- V. Subaward Reporting and Executive Compensation:** As required by the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252, recipients must report information for each subaward of \$25,000 or more in Federal funds and executive total compensation for each of your five most highly compensated executives for the preceding completed fiscal year as outlined in Appendix A to 2 CFR Part 170. Information about the Federal Funding and Transparency Act Subaward Reporting System (FSRS) is available at www.fsr.gov.

All prime grantees must provide a DUNS number in order to be able to register in FSRS as a prime grantee user. If your organization does not have a DUNS number, you will need to obtain one from Dun & Bradstreet. Call D&B at 866-705-5711 if you do not have a DUNS number. Once you have obtained a DUNS Number from D&B, you must then register with the Central Contracting Registration (CCR) at www.ccr.gov. Organization must report executive compensation as part of the registration profile at www.ccr.gov by the end of the month following the month in which this award is made, and annually thereafter. After you have completed your CCR registration, you will now be able to register in FSRS as a prime grantee user.

The Grants Management Specialist assigned to monitor the subaward reports and Executive Compensation is Iris Grady (grantsmanagement@hhs.gov).

**Department of Health and Human Services (HHS)
Office of Consumer Information and Insurance Oversight (OCIIO)**

Affordable Care Act - Consumer Assistance Program Grants

Catalog of Federal Domestic Assistance (CFDA) Number: 93.519

Programmatic Terms and Conditions

- I. Acceptance Letter and Assurance:** The grant award is subject to the recipient providing OCIIO a letter as acknowledgment of award and all Standard and Programmatic Terms and Conditions (PTCs), within thirty (30) days of the date of issuance of the award package. By accepting this grant award, the Grantee agrees to ensure that the project is administered in accordance with the grant requirements as indicated in the PTCs, and the Grantee agrees to comply with the requirements of the grant funding opportunity announcement as well as all applicable Federal laws and HHS policies.
- II. Budget and Project Period:** The project period and budget period are from October 15, 2010 through October 14, 2011. No grant funds shall be used for expenses incurred prior to October 15, 2010.
- III. Key Personnel Changes:** The Grantee is required to notify the OCIIO Project Officer and the OCIIO Grants Management Officer within thirty (30) days of any personnel changes affecting the grant's Project Director, Assistant Project Director, or the Financial Officer.
- IV. Collaborative Responsibilities:** Grantees are required to participate in scheduled trainings, activities, and communications with OCIIO staff, as well as other Grantees, to identify and share "best practices" for consumer assistance and advocacy. Additionally, the Office of Consumer Support in OCIIO will be working with each Grantee on an individual basis to ensure that program activities are aligned with the requirements of the Affordable Care Act and advance the directives of this grant program.
- V. Database Use:** Grantees may choose to use the OCIIO-provided database, although they are required to report on specified data elements (see below). The database will allow Grantees to collect and track casework and required data elements. Starting in January 2011, the database will allow users to generate data collection reports required by OCIIO.
- VI. Privacy of Personally Identifiable Information:** As stated on page 8 of the funding opportunity announcement, the Grantee must have a mechanism in place to protect a consumer's personal information and a process to protect consumer information entered in the Database.

VII. Data Collection Reports: Grantees are required to collect and report data to OCIO on the types of problems and inquiries encountered by consumers, characteristics of consumers and their problems, and other elements. OCIO staff will work with Grantees to develop a process for collecting the types of information necessary to generate the reports required by OCIO. The Office of Consumer Support will provide extensive technical assistance, training, and resource manuals to all Grantees over the course of the grant period to fulfill the data reporting requirements.

Grantees must submit data collection reports to OCIO on the following dates:

1. Data from October 15, 2010 – April 15, 2011: due April 29, 2011
2. Data from April 16, 2011 – July 15, 2011: due July 29, 2011
3. Data from July 16, 2011 – October 14, 2011: due October 28, 2011

Grantees must also respond to requests and provide data on consumer assistance activities as needed by OCIO.

VIII. Contract or Agreement between the State and the Non-Governmental Organization (NGO): If the Grantee intends to contract with an NGO, the Grantee will only be allowed to draw down up to ten percent (10%) of the total grant award, until it can show that a contract/agreement has been formalized between the State and the NGO. The Grantee has forty-five (45) days from the date of the Notice of Grant Award to present a copy of the contract/agreement to the OCIO Project Officer. If the Grantee does not adhere to this timeline, funds will be restricted and no further funds will be released to Grantee until the Grantee is in compliance with the intent of the funding opportunity announcement. (See page 7 of the funding opportunity announcement.)

IX. Revised Budget: If the Grantee previously received a request from OCIO Grant Specialists to submit a revised budget (e.g., a revised SF-424A, budget narrative and project narrative) or a clarification of the proposed budget, these documents must be submitted within thirty (30) days of the start of the project and budget periods. OCIO reserves the right to withhold funds until these documents are approved. Additionally, OCIO reserves the right to withhold funds if the Grantee does not provide the required documents within the deadline. OCIO will notify Grantee as to whether the documents have been approved within thirty (30) days from the date the revised documents are received by OCIO.

X. Advocacy: Grantees may use grant funds for existing consumer assistance capabilities or programs. However, they are required to expand upon (as opposed to refinance) those capabilities or programs. Grantees must demonstrate, over the course of the grant period, its commitment to advocate vigorously on behalf of consumers in both the filing of complaints and appeals (both internal and external

appeals) and enrolling consumers in health insurance coverage and group health plans, including self-insured plans.

XI. Uses of Grant Funds: All funds provided under this grant must be used by the Grantee exclusively for the Consumer Assistance Program Grants as defined in Section 1002 of the Affordable Care Act, and as described in the grant funding opportunity announcement. If the Grantee uses these funds for any other purpose or fails to obtain the prior written approval of the OCIO Project Officer for any modifications, then all funds provided under this grant may be required to be returned to the United States Treasury.

XII. Future Grant Awards: If additional funding is made available for Consumer Assistance Program Grants in the future, OCIO will consider the Grantee's past performance as one of the critical factors for determining whether to award additional funds to the Grantee. Special emphasis will be placed on the Grantee's data collection reports, including timeliness and adherence to reporting requirements.

XIII. Financial Reports:

1. **Quarterly Reports:** Effective January 1, 2010, Grantees are required to report cash transaction data via the Payment Management System (PMS) using the Federal Financial Report (FFR or Standard Form 425) cash transaction data elements. The FFR must be filed within thirty (30) days of the end of the quarter (instead of the 45 days allowed for filing the PSC 272). Reporting cash transaction data using the FFR replaces the use of the Federal Cash Transaction Report (SF-272/SF272A). Additional information and training are available on the Division of Payment Management website: <http://www.dpm.psc.gov/>.

A Quick Reference Guide for completing the FFR in the PMS is at http://www.dpm.psc.gov/grant_recipient/guides_forms/ffr_quick_reference.aspx

2. **Annual Report:** The Grantee is required to submit one Financial Status Report (FSR) to the OCIO Grant Specialist, with a copy to the OCIO Project Officer. An FSR (SF 269A – Short Form) is required from the Grantee within ninety (90) days of the end of the project period. Records of expenditures and any program income generated must be maintained in accordance with the provisions of 45 CFR § 74.53 or § 92.42. The Grantee will submit the FSR to the OCIO Grant Specialist listed on this Notice of Grant Award with a copy to the OCIO Project Officer. (The SF-269A may be accessed at the following site: <http://www.whitehouse.gov/omb/grants/sf269a.pdf>)

All quarterly and annual reports must be submitted electronically.