Centers for Disease Control and Prevention

Center for Global Health

Building Capacity for National Public Health Institutes
  CDC-RFA-GH20-2107
Application Due Date: 05/04/2020
Building Capacity for National Public Health Institutes
CDC-RFA-GH20-2107
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Part I. Overview Information
Applicants must go to the synopsis page of this announcement at www.grants.gov and click on the "Subscribe" button link to ensure they receive notifications of any changes to CDC-RFA-GH20-2107. Applicants also must provide an e-mail address to www.grants.gov to receive notifications of changes.

A. Federal Agency Name:
Centers for Disease Control and Prevention (CDC) / Agency for Toxic Substances and Disease Registry (ATSDR)

B. Notice of Funding Opportunity (NOFO) Title:
Building Capacity for National Public Health Institutes

C. Announcement Type: New - Type 1
This announcement is only for non-research activities supported by CDC. If research is proposed, the application will not be considered. For this purpose, research is defined at https://www.gpo.gov/fdsys/pkg/CFR-2007-title42-vol1/pdf/CFR-2007-title42-vol1-sec52-2.pdf. Guidance on how CDC interprets the definition of research in the context of public health can be found at https://www.hhs.gov/ohrp/regulations-and-policy/regulations/45-cfr-46/index.html (See section 45 CFR 46.102(d)).

D. Agency Notice of Funding Opportunity Number:
CDC-RFA-GH20-2107

E. Assistance Listings (CFDA) Number:
93.318

F. Dates:
1. Due Date for Letter of Intent (LOI): N/A

3. Date for Informational Conference Call:
N/A

G. Executive Summary:
1. Summary Paragraph:
Consolidating and organizing public health expertise and systems within a National Public Health Institute (NPHI) is a successful way for countries to carry out essential public health functions and improve their accountability and efficiency. The CDC, with over 70 years of experience as the U.S. NPHI, is helping countries around the world increase surveillance, laboratory, and outbreak response capacity to improve recognition of and response to health threats. An NPHI coupled with stronger local outbreak detection and response capabilities offers a sustainable solution for building global public health capacity, achieving global health security, and increasing public health impact.

This Notice of Funding Award (NOFO) seeks to build upon activities supported by CDC through partnerships with Ministries of Health, National Public Health Institutes, and organizations that have capacity by providing technical assistance supporting the establishment
and development of strong NPHIs globally. The CDC seeks to continue strengthening NPHIs so that they are credible, technically expert, apolitical and prioritize the protection of the public's health.

a. Eligible Applicants: Open Competition
b. NOFO Type: Cooperative Agreement
c. Approximate Number of Awards: 15
d. Total Period of Performance Funding: $15,000,000
e. Average One Year Award Amount: $2,000,000
f. Total Period of Performance Length: 5
g. Estimated Award Date: 09/30/2020
h. Cost Sharing and / or Matching Requirements: N

Part II. Full Text
A. Funding Opportunity Description

1. Background

a. Overview
Strengthening public health systems and institutions can save lives and money. Public health institutes monitor, implement, oversee programs, and respond to outbreaks to prevent disease. Over the past decade, many countries have strengthened or created an NPHI, often following a major event. The core function of an NPHI is monitoring and responding to health threats. Monitoring requires reference laboratories and surveillance systems. Response requires outbreak control and implementation of evidence-based public health actions. NPHIs can include disease-specific control programs; support to state, provincial, or local public health entities; surveillance and control for non-communicable diseases and injuries; occupational and environmental health; or vital registration. Typical core functions of NPHIs include surveillance for diseases and injuries, as well as risk factors; epidemiologic investigations of health problems; public health research; and response to public health emergencies. http://www.thelancet.com/journals/lancet/article/PIIS0140-6736%2810%2962007-7/fulltext

Many high functioning NPHIs already exist. However, many NPHIs in low-resource countries need extensive resources and technical assistance as well as organizational strengthening to carry out core public health functions, including effective disease detection and response. Focusing efforts on building and strengthening NPHIs offers a long-term, sustainable solution for building global public health capacity, achieving global health security, and increasing public health impact.

CDC emphasizes high impact, transformative investments to maximize an NPHI's self-reliance and leverages existing partnerships and scientific expertise through time-limited engagement.
Through leadership and direct engagement with Ministry of Health (MOH) officials, CDC and partners help countries develop a strategic plan aligned with public health priorities, determine necessary policy changes, create a sustainability plan, and execute a project, which includes linking newer NPHIs with other established NPHIs. Consolidated and strengthened public health functions within an NPHI contribute a strong health system. Strengthening an NPHI providing science-based leadership and coordination for a country's public health activities depends on its resources (human, physical, financial, and technological) and its management (leadership, program and process management, and networking and linkages).

Award recipients are expected to provide technical assistance and support to countries that intend to develop or strengthen a national public health institute. Long-term outcomes seek to have an NPHI establish, strengthen, and improve one or more of the internal and external public health functions:

- Improved coordination with ministries and stakeholders
- Consolidated data collection, analysis and reporting
- Stronger communication between partners and the public
- Strengthened preparedness, surveillance and response
- Sense of accountability and public trust

To achieve these outcomes, short-term and medium-term outcomes have been established and are depicted under each of the components of this NOFO.

Component 1: Partnership Development and Stakeholder Engagement
Component 2: Facilitation and Planning
Component 3: Operational Planning
Component 4: Improve Technical and Management Capacity
Component 5: Provide Technical and Management Support to NPHI Program
Component 6: Engage in Sustainability Planning

b. Statutory Authorities

Section 301(a) of the Public Health Service Act [42 USC § 241(a)], as amended and Section 307 of the Public Health Service Act [42 USC §242l], as amended.

c. Healthy People 2030

This project supports the following Healthy People 2030 goal and objectives:

- Increase the number of public health events of international importance that are monitored and reported
- Increase the number of individuals trained globally to prevent, detect, or respond to public health threats
- Increase the laboratory diagnostic testing capacity, surveillance system, and routine reporting in countries and regionally

d. Other National Public Health Priorities and Strategies
Activities funded through this cooperative agreement must align with the following United States Government (USG) and HHS/CDC strategies and policies:

CDC's strategy for improving global health security (GHS), based on three concepts embedded in the agency's mission to protect public health worldwide: 1) Prevent 2) Detect 3) Respond: https://www.cdc.gov/globalhealth/security/index.htm


International Health Regulations (IHR) (2005) and supporting policies and frameworks https://www.who.int/topics/international_health_regulations/en/

e. Relevant Work

This NOFO builds on past work of CDC's National Public Health Institute Program expertise to support linkages among critical Global Health Security functions leading to improved Global Health Security coordination and country led response to threats. https://www.ghsagenda.org/

2. CDC Project Description

a. Approach

**Bold** indicates period of performance outcome.

<table>
<thead>
<tr>
<th>Strategies/ Activities</th>
<th>Short-term Outcome</th>
<th>Intermediate Outcomes</th>
<th>Long-Term Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Component 1:</strong> Partnership Development and Stakeholder Engagement</td>
<td>Increased stakeholder buy-in (1)</td>
<td>Increased host gov political will and support for the NPHI (1, 2)</td>
<td>NPHI?s selected functions are sustainable and NPHI has improved coordination with ministries and stakeholders (1, 2, 3, 4, 5)</td>
</tr>
<tr>
<td>Strategy 1: Intensify Partnerships</td>
<td></td>
<td>NPHI completes activities in the strategic and operational plan and uses available resources and information learned to improve organizational structure by (3, 4)</td>
<td></td>
</tr>
<tr>
<td><strong>Component 2:</strong> Facilitation and Planning</td>
<td>Increased financial support from partners, donors, and Governmental appropriations (1, 2)</td>
<td>NPHI has consolidated data collection, analysis and reporting (5)</td>
<td></td>
</tr>
<tr>
<td>Strategy 2: Strengthen Facilitation and Planning</td>
<td>Improved coordination among internal and external partners essential to NPHI funding and service delivery (1)</td>
<td>NPHI has stronger communication among partners and the public (5)</td>
<td></td>
</tr>
<tr>
<td>Creates a mission and vision statement</td>
<td>Improved understanding by NPHI/MOH leaders</td>
<td></td>
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<td>Facilitates meetings on health priorities</td>
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<tr>
<td>Provides links to JEE</td>
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</table>
and other national assessments

**Component 3: Operational Planning**

Strategy 3: Strengthen Operational Planning

**Component 4: Improve Technical and Management Capacity**

Strategy 4: Improve Technical and Management Capacity

**Component 5: Provide Technical and Management Support to NPHI Program; and Component 6: Engage in Sustainability Planning**

Strategy 5: Support to NPHI Program

**Component 6: Engage in Sustainability Planning**

Strategy 6: Engage in Sustainability Planning

<table>
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<tbody>
<tr>
<td>Improved preparedness and ability of NPHI/MOH leader to strengthen NPHI (2)</td>
<td>Improved awareness (by NPHI) of how to address NPHI gaps (3, 4)</td>
<td>Increased commitment (NPHI) to address NPHI public health gaps (3, 4)</td>
<td>Increased capacity by NPHI/MOH for scientific communications (3)</td>
</tr>
<tr>
<td>NPHI achieves Institutional benchmarks (4)</td>
<td>NPHI Program achieves standardized approach to NPHI strengthening (5)</td>
<td>Sustained organizational and technical capacity (6)</td>
<td>Improved capacity of CDC’s NPHI Program to support NPHI development (5)</td>
</tr>
<tr>
<td>NPHI has Strengthened preparedness, surveillance and response (5)</td>
<td>Sense of accountability and public trust (6)</td>
<td></td>
<td>Improved plan for NPHI sustainability (6)</td>
</tr>
</tbody>
</table>
i. Purpose
Consolidated and strengthened public health functions within an NPHI contribute a strong health system. Strengthening an NPHI providing science-based leadership and coordination for a country's public health activities depends on its resources (human, physical, financial, and technological) and its management (leadership, program and process management, and networking and linkages). This NOFO will assist in accomplishing key CDC NPHI objectives by consolidating these disparate functions.

ii. Outcomes
To achieve these outcomes, short-term and medium-term outcomes have been established and are depicted under each of the components of this NOFO.

Component 1: Partnership Development and Stakeholder Engagement

Strategy 1: Intensify Partnerships

Short-term outcomes
- Increased stakeholder buy-in (1)
- Increased financial support from partners, donors, and Governmental appropriations (1, 2)
- Improved coordination among internal and external partners essential to NPHI funding and service delivery (1)

Intermediate-term outcomes:
- Increased host government political will and support for the NPHI

Long-term outcomes:
- NPHI's selected functions are sustainable and NPHI has improved coordination with ministries and stakeholders (1, 2, 3, 4, 5)

Component 2: Facilitation and Planning

Strategy 2: Strengthen Facilitation and Planning

Short-term outcomes
- Improved understanding by NPHI/MOH leaders of the NPHI, its goals, and functions (2)
- Improved preparedness and ability of NPHI/MOH leader to strengthen NPHI (2)

**Intermediate-term outcomes**

- Increased host gov political will and support for the NPHI (1, 2)

**Long-term outcomes**

- NPHI's selected functions are sustainable and NPHI has improved coordination with ministries and stakeholders (1, 2, 3, 4, 5)

**Component 3: Operational Planning**

**Strategy 3: Strengthen Operational Planning**

**Short-term outcomes**

- Improved awareness (by NPHI) of how to address NPHI gaps (3, 4)
- Increased commitment (NPHI) to address NPHI public health gaps (3, 4)
- Increased capacity by NPHI/MOH for scientific communications (3)

**Intermediate-term outcomes**

- NPHI completes activities in the strategic and operational plan and uses available resources and information learned to improve organizational structure by (3, 4)
  - Established legal authorizations for public health
  - Re-aligned staff to meet public health functions and training staff to new functions
  - Strengthened scientific communications
  - Identified and secured resources for NPHI (e.g. national budget)
- Improved one or more of the internal and essential public health functions (3, 4)

**Long-term outcomes**

- NPHI's selected functions are sustainable and NPHI has improved coordination with ministries and stakeholders (1, 2, 3, 4, 5)

**Component 4: Improve Technical and Management Capacity**

**Strategy 4: Improve Technical and Management Capacity**

**Short-term outcomes**

- Increased commitment (NPHI) to address NPHI public health gaps (3, 4)

**Intermediate-term outcomes**

- NPHI completes activities in the strategic and operational plan and uses available
resources and information learned to improve organizational structure by (3, 4)

- Established legal authorizations for public health
- Re-aligned staff to meet public health functions and training staff to new functions
- Strengthened scientific communications
- Identified and secured resources for NPHI (e.g., national budget)

- Improved one or more of the internal and essential public health functions (3, 4)
- NPHI achieves Institutional benchmarks (4)

**Long-term outcomes**

- NPHI's selected functions are sustainable and NPHI has improved coordination with ministries and stakeholders (1, 2, 3, 4, 5)

**Component 5: Provide Technical and Management Support to NPHI Program**

**Strategy 5: Support to NPHI Program**

**Short-term outcomes**

- Improved capacity of CDC's NPHI Program to support NPHI development (5)

**Intermediate-term outcomes**

- NPHI Program achieves standardized approach to NPHI strengthening (5)

**Component 6: Sustainability Planning**

**Strategy 6: Engage in Sustainability Planning**

**Short-term outcomes**

- Improved plan for NPHI sustainability (6)

**Intermediate-term outcomes**

- Sustained organizational and technical capacity (6)

**Long-term outcomes**

- Improved sense of accountability and public trust (6)

### iii. Strategies and Activities

The components are designed to be transformative for the NPHI that include strategies with partnership development, planning for implementation; organizational capacity strengthening, consultation and technical support, management support, and institutionalization planning of the NPHI to be a critical competent along with other governmental organizations. Component activities may include but are not limited to the following.
**Component 1: Partnership Development and Stakeholder Engagement**

This component is designed to facilitate stakeholder engagement, bringing subject matter experts together with governmental and non-governmental partners. Where possible, recipients will be requested to work collaboratively with other partners in the area. Possible activities include but are not limited to the following:

- Developing strategies to advocate for the value of the NPHI, both internal (within MOH or the government) and external
- Forming partnerships among in-country organizations, regional organizations and countries, and global partners
- Partnership mapping and management of activities across public health functions
- Developing stakeholder engagement schemes and tools, such as with SMEs and with governmental and non-governmental partners
- Fostering and strengthening cross border capacities supporting collaboration in areas such as public health emergency response
- Supporting collaborative relationships with multi-governmental organizations

**Component 2: Facilitation and Planning**

Recipients may lead or assist with planning efforts, depending on the need expressed by the NPHI or MOH, to accomplish establishing a clear and efficient direction of effort leading to a transformational change in the organization. The listing below are some of the planning efforts needed to establish direction for development and strengthening of public health functions.

- Conducting strategic planning (including guiding development of mission and vision statements), facilitating meetings on health priorities, and identifying and supporting links to Joint External Evaluation and other national assessments and priorities
- Assisting to define tasks and activities in a strategic and operational development plan
- Conducting activity and work planning
- Developing activity budgets
- Developing change management strategies and plans
- Facilitating and participating in regional technical assistance

**Component 3: Operational Planning**

Operational planning uses strategic plans to strengthening organizational capacity leading to organizational effectiveness. Supporting organizations? capacity strengthening may include but is not limited to the following activities.

- Conducting operational planning
- Supporting organizational capacity, human resources, and other assessments
- Supporting efficient use of organizational resources
- Developing or supporting human resources in areas of staff management, assessment of staff performance, program staffing, staff development, policy and procedure development
- Developing and designing an effective program evaluation logic model or other evaluation tool to measure the effectiveness of organizational improvement
• Developing capacity to communicate effectively with both internal and external stakeholders
• Assessing the technology resources (i.e., equipment, systems, software, etc.) needed to efficiently and effectively operate the organization.
• Assisting development of systems to assess the capability to carry out self-assessments, utilize the findings to carry out and follow through on strategic plans.

Component 4: Improve Technical and Management Capacity

Recipient may lead or support MOH and NPHI management in consultations, facilitation, development, and implementation of activity, operational, technical, and management plans. Some activities may include the following but not limited to this list.

• Supporting technical capacity or other assessments around global health security functions
• Leading or facilitating countries in development or strengthening of global health security capacities, such as the country’s workforce development, surveillance, laboratory, and emergency operations
• Providing management consultation
• Developing concept and business plans
• Supporting activity-based costing (ABC) and budget development
• Assisting with activity-based costing (ABC) and model development and implementation with management
• Developing leadership and management capacities and skills
• Supporting and strengthening internal and external communication strategies
• Supporting NPHIs to create scientific governmental communication strategies

Component 5: Provide Technical and Management Support to Program

Provide planning and implementation support to CDC’s NPHI Program to better support NPHIs in technical areas noted below. Support is directly with CDC’s NPHI Program needs to develop guidance, tools, and other support technical or management instruments. Activities supporting program management may include:

Supporting CDC’s NPHI Program to develop tools and models to support countries develop or strengthen technical areas in global health security such as the country’s workforce development, surveillance, laboratory, and emergency operations. Examples of support may include, but not limited to:

• Conducting workforce assessment and developing career pathway models
• Supporting development of broader in-service programs such as border health, IPC for health care workers, emergency management specialists training and development
• Developing tools, building NPHI Program staff capacity, or otherwise contributing to CDC NPHI Program’s ability to support NPHIs in functions, which may include the following.

  o Strengthening an integrated data system, NAPHS implementation, cross-border collaborations, and development of dashboards and data sharing mechanisms
  o Strengthening animal health surveillance and linkages with human health laboratory
o Strengthening laboratory systems including data sharing
o Strengthening Incident management systems (IMS) for example, table top exercises for continued skills practice

- Supporting the development of guidelines and standard operating procedures
- Supporting leadership and management capacity development in areas such as, financial management systems, data for policy development
- Leadership and management skills development in areas such as organizational development, strategic and operational planning, and fiscal management

Component 6: Engage in Sustainability Planning

Developing and supporting strategies and conditions needed to be in place so sustain NPHI activities leading to institutionalization of the NPHI. Activities may include:

- Developing and improving surveillance, detection, and response systems
- Strengthening resource allocation, coordinate donors, and identify and engage new donors
- Developing phased approaches to sustained planning, implementation, assessment
- Branding public health institute
- Developing legal authorities
- Establishing formal appropriations
- Developing change management plans

Applicants are not expected to propose additional activities in their application beyond the above listed six components. However, suggesting additional or other activities are welcome.

1. Collaborations

a. With other CDC programs and CDC-funded organizations:

Recipients are also required to work with other CDC implementing partners, including non-governmental organizations, universities, Ministry of Health and other host governmental bodies and multi-lateral organizations that receive CDC funds. The recipient should ensure their proposed activities are not duplicating activities already implemented by other CDC-funded organizations.

b. With organizations not funded by CDC:

The recipient(s) will work primarily and directly with partner governments specifically with the Ministries of Health and other government entities who are working towards the objectives of this NOFO. In addition, the recipient will be expected to work with other stakeholders in country and at the global level including but not limited to other government entities, non-governmental organizations, universities, civil society, the private sector, and other USG agencies.

2. Target Populations

The target populations for this NOFO include, but are not limited to, those individuals infected and affected by infectious diseases, are at risk for becoming infected by an infectious disease. The target population for this NOFO may also include at-risk population for non-communicable
diseases and/or other public health emergencies.

The work under this NOFO will also target increased capacity at the national and sub-national level to implement and achieve outbreak/epidemic/pandemic control in line with USG and CDC strategy. The number and names of the sub-national districts at the time of the award may be changed depending on epidemiologic profile and disease burden.

Recipients are expected to use epidemiologic, social determinants and surveillance data to identify communities disproportionately affected by infectious diseases or non-communicable diseases in the target areas to ensure that program activities appropriately cover these populations. Recipients should ensure that in supported sites, services are accessible and available to all patients regardless of age, sex, race/ethnicity, sexual orientation, gender identity, or socio-economic status in order to achieve the objectives of this NOFO.

Applicants to this NOFO are highly encouraged to prioritize the following countries:

Angola, Benin, Burkina Faso, Cambodia, Cameroon, Chad, Colombia, Cote d'Ivoire, Democratic Republic of Congo, Ethiopia, India, Indonesia, Kenya, Liberia, Ghana, Guinea, Madagascar, Malawi, Mali, Mozambique, Nigeria, Pakistan, Sierra Leone, South Africa, Tanzania, Ukraine, Uganda, and Zambia.

The list of prioritized countries represents a compilation of countries that have asked for CDC support to develop and strengthen an NPHI, countries where CDC has invested in NPHI development, countries that have a CDC presence and ongoing activities supported by CDC to build upon, or countries that are highly vulnerable to infectious disease outbreaks.

Applicants are required to specify which country/countries they are best suited to meet the objectives in this NOFO in their application along with a justification narrative including past experience in that country, language capability and cultural awareness.

a. Health Disparities

N/A

iv. Funding Strategy

This NOFO is divided into six components? each applicant must apply for at least two components. Applicants to this NOFO are encouraged to apply to the award ceiling. Budget proposals may not exceed the total award ceiling.

Component funding

CDC anticipates an award ceiling of $3,000,000 to be apportioned across the component activities. There are six components in this NOFO - each applicant must apply for two to six components. The expected award for each component for Year 1 is:

Component #1: $300,000
Component #2: $300,000
Component #3: $750,000
Component #4: $450,000
Component #5: $750,000
Component #6: $450,000
Total Year 1: $3,000,000

Countries to be Targeted:

While applicants can submit an application to meet the objectives of this NOFO for any geographic location, applicants are encouraged to prioritize the following countries:

Angola, Benin, Burkina Faso, Cambodia, Cameroon, Chad, Colombia, Cote d'Ivoire, Democratic Republic of Congo, Ethiopia, India, Indonesia, Kenya, Liberia, Ghana, Guinea, Madagascar, Malawi, Mali, Mozambique, Nigeria, Pakistan, Sierra Leone, South Africa, Tanzania, Ukraine, Uganda, and Zambia.

CDC Seeks to maximize coverage of NPHI strengthening activities geographically and can fund out of order in order to ensure maximum coverage of activities based on funding availability at the time of award.

Emergency Funding

The ability to respond rapidly and effectively to public health emergencies is a key component of global health security. International public health emergencies including humanitarian crises are by nature unpredictable, requiring fulfilment of changing and often unpredictable needs that vary widely according to context. Consequently, funding for public health emergencies is also unpredictable and based on external factors. In recent years, there has been a sharp rise in the number of people living in regions of the world affected by public health emergencies, including humanitarian emergencies, which has often led to additional funding resources from the USG to respond to these threats. Given this unpredictability and the resulting need for rapid, flexible, and efficient process to award funding under an emergency situation, recipients that are selected for funding under this NOFO may be eligible to receive additional supplemental funding when a public health emergency occurs to scale up activities included within the scope of work of this NOFO.

Definition of public health emergency:

In order to qualify for supplemental emergency funding, one of the following situations must apply:

1) When UN or WHO classifies the emergency as a Level 3 (L3)
2) When the US Congress appropriates funding for an international response related to humanitarian or public health crisis with the words containing ?emergency? in the program title. The appropriated funding could be for CDC directly or is transferred to CDC through an Interagency Agreement (IAA) by HHS or another USG agency
3) When the US government (Congress, White House, National Security Council etc) declares a public health emergency as national security priority
4) When HHS Secretary declares an emergency
5) When the CDC Director activates Emergency Operation Center (EOC) in response to an international public health threat
6) When Department of State or U.S. Agency for International Development (USAID) transfer funds to CDC to respond to an international disaster or humanitarian assistance under 2 FAM 060 (International Disaster and Humanitarian Assistance)

If a public health emergency situation meets any one criteria listed above, then selected recipients under this NOFO may be eligible to receive supplemental emergency funding to scale up public health activities included in the scope of work of this NOFO on a single-source basis, i.e., without
additional competition. There is no limit on the number of emergency supplemental funding that a recipient may receive within a budget period or period of performance, however, emergency funding request cannot exceed a recipient's budget period or period of performance. In addition, all reporting requirements listed under this NOFO still applies to any emergency supplemental funding.

All reporting requirements listed under this NOFO still applies to any emergency supplemental funding.

b. Evaluation and Performance Measurement

i. CDC Evaluation and Performance Measurement Strategy

The applicant should describe how they plan to measure and collect data on the funded activities and bolded outcomes identified in the logic model. The purpose of collecting and reporting these data is to determine the progress toward achieving the NOFO activities and outcomes. The results will also be used for program planning, development and improvement, accountability and reporting, and for sharing with partners and other stakeholders. CDC will work with the recipient throughout the life of this award to ensure that all activities and expected outcomes are in alignment with current USG and the recipient's strategies and goals. The recipient should dedicate funds made available under this NOFO for evaluation and performance monitoring within each project. The final funding amount will be agreed upon by both CDC and the recipient; however, it should be expected that approximately 3% (of a given project's funding) will be dedicated to monitoring, reporting, and evaluation activities. CDC and the recipient will agree upon the specific funding amounts within review of each project's work plan and budget.

Monitoring

CDC expects that the work conducted under this NOFO will be structured as a series of discrete projects oriented at achieving elements of the NOFO's strategic objectives. CDC and the recipient will jointly develop formal performance measures shortly after award based on activities within each project. For each project, these performance measures must include CDC's Division of Global Health Protection's Division-wide Indicators (DWIs), as well as other CDC or recipient's standard indicators relevant to the intended outcomes of the project. The DWIs include indicators that are required reporting for CDC, such as for OMB, HHS, USG Global Health Security Agenda (GHSA) interagency, and Healthy People. At a minimum, applicants should describe proposed process measures for the strategies and activities in the logic model, and proposed outcome measures for the period of performance outcomes in the logic model.

While recipients will be responsible for reporting on DWIs relevant to proposed strategies and activities, they are not limited to only DWIs listed below. Applicants can, and are encouraged to, propose additional relevant indicators that, combined with relevant DWIs, will be monitored over the life of the NOFO. Recipients will also be encouraged to identify relevant USG GHSA Interagency Metrics, WHO Joint External Evaluation (JEE), and/or Healthy People 2030 standardized metrics and WHO benchmarks.

Technical Area Division of Global Health Protection (DGHP) Division-wide Indicators (DWIs) as of April 2019

Workforce Development (WD)

WD#1: Number of individuals trained by CDC to prevent, detect and respond to public health
threats

WD#2: Number of Field Epidemiology Training Program (FETP) residents trained by CDC that have participated in outbreak investigations and responses

WD#3: Number and proportion of subnational jurisdictions per country that have had at least one staff member trained by FETP-Frontline

WD#4: Number of CDC staff ready to provide emergency management and response assistance

Emergency Management and Response (EMR)

EMR#1: Number of public health events of international importance monitored and reported

EMR#2: Number of public health events and other global health emergency responses supported by CDC

EMR#3: Number of outbreaks investigated and responded to by the country

EMR#4: Number and proportion of countries with an established Public Health Emergency Operations Center (PHEOC) that have used their PHEOC for a real-world response or simulation

Surveillance Systems (SS) and Laboratory Systems (LS)

SS/LS#1: Number and proportion of country-prioritized diseases and pathogens with laboratory testing capacity, surveillance system, and routine reporting to public health authorities

SS#2: Number and proportion of countries with a centralized national database that includes linked suspect case reports and laboratory data from subnational jurisdictions for the country's priority notifiable diseases/syndromes

LS#2: Number and proportion of designated laboratories that have bio-risk management policies, physical security controls and inventories for potential high consequence pathogens and toxins

LS#3: Number of new diagnostic tests established in national or regional laboratories with CDC support

LS#4: Number of new strains or pathogens detected or discovered with CDC support

LS#5: Number and proportion of countries that have developed a national laboratory specimen referral system and transport networks

LS#6: Number and proportion of laboratory facilities, designated in the national action plan for antimicrobial resistance (AMR) or as part of a national surveillance system, that conduct antimicrobial susceptibility testing (AST) and have reported susceptibility data to a designated national body

LS #7: Number and proportion of countries that have adopted and implemented a national program of quality management systems (QMS)

Institutional Development (ID)

ID#1: Number of countries with a National Public Health Institute (NPHI) that was strengthened with CDC support

ID#2: Number of countries whose core public health functions (laboratory, surveillance, workforce development and emergency management and response) are coordinated by the NPHI
Performance reports will be based on which NOFO activities and outcomes are identified in the logic model. Performance reports will be submitted to CDC in accordance with the requirements listed under this NOFO and overall performance will be reviewed on regular technical calls as well as through joint strategic review meetings.

Evaluation
The potential evaluation questions and/or topics below are examples of what the applicant may be expected to answer through evaluation(s). Applicants should include at least 1, but no more than 3 potential evaluation questions, or evaluation topics if specific questions are unknown. It is acceptable to provide only evaluation questions, only evaluation topics, or a combination of both evaluation questions and topic, as needed. Applicants should consider but are not limited to the following areas when developing evaluation questions and/or topics.

Sample Evaluation Topics:

- Program evaluations to measure the differences in outbreak responses, or other public health responses, in a country, before and after public health investments (in terms of days of outbreak start, days to outbreak detection, laboratory confirmation of outbreak, days to control outbreak, etc.).
- Extent to which enhancements in public health surveillance in a country improved outbreak response (in terms of outbreak(s) controlled, cases averted, and time lags from specimen detection to collection).
- Extent to which enhancements of the public laboratory systems, such as addition of a specific laboratory capacity in a country, improved outbreak response (in terms of outbreaks detected controlled, cases averted, and time lags from specimen collection to detection).
- Program evaluations to measure if the coverage and capacity of the specimen referral network increased

Final evaluation questions and data sources will be determined together with CDC within 6 months after the award and will be included in the submission of the evaluation and performance measurement plan (EPMP). Evaluations are expected to align with national, USG, and agency priorities and programmatic gaps, and maybe be reviewed by global action committees. As such, the evaluation topics listed in this announcement may be amended.

Dissemination of Evaluation and Performance Measures: By the end of the period of performance, evaluation and performance measures will yield findings to demonstrate the value of the NOFO. The findings should be disseminated through the Annual Progress Report (APR) and the recipient is expected to pursue additional dissemination in public domains, including in public health journals, including global health journals, conferences and through informal channels (e.g., website, newsletters) where applicable.

ii. Applicant Evaluation and Performance Measurement Plan
Applicants must provide an evaluation and performance measurement plan that demonstrates how the recipient will fulfill the requirements described in the CDC Evaluation and Performance Measurement and Project Description sections of this NOFO. At a minimum, the plan must describe:
• How applicant will collect the performance measures, respond to the evaluation questions, and use evaluation findings for continuous program quality improvement.
• How key program partners will participate in the evaluation and performance measurement planning processes.
• Available data sources, feasibility of collecting appropriate evaluation and performance data, and other relevant data information (e.g., performance measures proposed by the applicant)
• Plans for updating the Data Management Plan (DMP), if applicable, for accuracy throughout the lifecycle of the project. The DMP should provide a description of the data that will be produced using these NOFO funds; access to data; data standards ensuring released data have documentation describing methods of collection, what the data represent, and data limitations; and archival and long-term data preservation plans. For more information about CDC’s policy on the DMP, see https://www.cdc.gov/grants/additionalrequirements/ar-25.html.

Where the applicant chooses to, or is expected to, take on specific evaluation studies, they should be directed to:

• Describe the type of evaluations (i.e., process, outcome, or both).
• Describe key evaluation questions to be addressed by these evaluations.
• Describe other information (e.g., measures, data sources).

Recipients will be required to submit a more detailed Evaluation and Performance Measurement plan, including a DMP, if applicable, within the first 6 months of award, as described in the Reporting Section of this NOFO.

c. Organizational Capacity of Recipients to Implement the Approach

A successful applicant must demonstrate core organizational capacity to manage and conduct the activities for which awards are made. Applicants will demonstrate the local experience and institutional capacity (both management and technical) to achieve the goals of the NOFO with documented good governance practices. The application must include a clear plan for the administration and management of the proposed activities, and to manage the resources of the program, prepare reports, monitor and evaluate activities, audit expenditures and produce collect and analyze performance data. Applicants should provide CVs or resumes for key personnel along with a current organizational chart with their application.

Applicant must be able to manage program performance, evaluation, performance monitoring, financial reporting, and must have capacity to manage the required funds in accordance with the HHS Grants Policy Statement, which can be found at: http://www.hhs.gov/asfr/ogapa/aboutog/hsgps107.pdf

Applicants must demonstrate the following in the application:

1) Approach
• Presents outcomes that are consistent with the period of performance outcomes described in the CDC Project Description and logic model.
• Describes an overall strategy and activities consistent with the CDC Project Description and logic model.
• Describes strategies and activities that are achievable, appropriate to achieve the outcomes of the project, and evidence-based (to the degree practicable).
• Shows that the proposed use of funds is an efficient and effective way to implement the strategies and activities and attain the period of performance outcomes.
• Presents a work plan that is aligned with the strategies/activities, outcomes, and performance measures in the approach and is consistent with the content and format proposed by CDC.

2) Evaluation and Performance Measurement

• Shows/affirms the ability to collect data on the process and outcome performance measures specified by CDC in the project description and presented by the applicant in their approach.
• Describes clear monitoring and evaluation procedures and how evaluation and performance measurement will be incorporated into planning, implementation, and reporting of project activities.
• Describes how performance measurement and evaluation findings will be reported, and used to demonstrate the outcomes of the NOFO and for continuous program quality improvement.
• Describes how evaluation and performance measurement will contribute to developing an evidence base for programs that lack a strong effectiveness evidence base.
• Describes any evaluation studies they are to undertake. Describe in sufficient detail to identify the key evaluation questions, and data sources and analysis methods.
• Includes a preliminary Data Management Plan (DMP), if applicable.

3) Applicant's Organizational Capacity to Implement the Approach

• Demonstrates relevant experience and capacity (management, administrative, and technical) to implement the activities and achieve the project outcomes.
• Demonstrates experience and capacity to implement the evaluation plan.
• Provides a staffing plan and project management structure that will be sufficient to achieve the project outcomes and which clearly defines staff roles. Provides an organizational chart.

The applicant should provide as part of their appendix the following documents:
1) Curricula vitae (CVs)/Resumes for positions related to Principal Investigator, Project Director, Business Official, and other key staff related to program planning and implementation, finance, and monitoring and evaluation.
2) Job descriptions (maximum 1 page per job description) for key positions including: Principal Investigator, Project Director, Business Official, and other key staff related to program planning and implementation, finance, and monitoring and evaluation.
3) Organizational chart (maximum 1 page)
4) Capacity statement to be able to implement the activities proposed under this NOFO (maximum 1 page).

5) Financial management statement that demonstrates experience in managing USG or CDC funds that are similar in size and scope of this NOFO (maximum 1 page).

The above referenced documents to be submitted in the appendix should demonstrate the organization's capacity to address the requirements of the NOFO.


d. Work Plan

The applicant must submit one application with clearly marked separate budget and work plan for each component within their application. Please note that only one application with clearly marked separate work plan and budget for each component will be accepted.

Applicant must also include a work plan that demonstrates how the outcomes, strategies, activities, timelines, and staffing will take place over the course of the award. Applicants must submit a detailed work plan for the first year of the project, and a high-level work plan in subsequent years. An example work plan is shown below. Applicants are not required to use this format, as long as they include the information above.

<table>
<thead>
<tr>
<th>Period of Performance Outcome:</th>
<th>Outcome Measure:</th>
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<tbody>
<tr>
<td>Strategies and Activities</td>
<td>Process Measure</td>
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e. CDC Monitoring and Accountability Approach

Monitoring activities include routine and ongoing communication between CDC and recipients, site visits, and recipient reporting (including work plans, performance, and financial reporting). Consistent with applicable grants regulations and policies, CDC expects the following to be included in post-award monitoring for grants and cooperative agreements:

- Tracking recipient progress in achieving the desired outcomes.
- Ensuring the adequacy of recipient systems that underlie and generate data reports.
• Creating an environment that fosters integrity in program performance and results.

Monitoring may also include the following activities deemed necessary to monitor the award:

• Ensuring that work plans are feasible based on the budget and consistent with the intent of the award.
• Ensuring that recipients are performing at a sufficient level to achieve outcomes within stated timeframes.
• Working with recipients on adjusting the work plan based on achievement of outcomes, evaluation results and changing budgets.
• Monitoring performance measures (both programmatic and financial) to assure satisfactory performance levels.

Monitoring and reporting activities that assist grants management staff (e.g., grants management officers and specialists, and project officers) in the identification, notification, and management of high-risk recipients.

The recipient(s) will be required to collaborate with CDC in-country offices for technical oversight of project activities to be implemented under this NOFO. For countries where there is no in-country CDC office, the recipient will be required to work with CDC headquarters (HQ) for technical oversight of project activities to be implemented under this NOFO. In addition to the project officer, the recipient will collaborate with in-country or HQ contacts, Subject Matter Experts (SMEs) and technical leads. The project officer for this award will provide relevant contacts of CDC staff and coordinate discussions with the award recipients.

f. CDC Program Support to Recipients (THIS SECTION APPLIES ONLY TO COOPERATIVE AGREEMENTS)

In a cooperative agreement, CDC staff is substantially involved in the program activities, above and beyond routine grant monitoring. CDC activities for this program include, but are not limited to, the following:

1. Organize an orientation meeting with the recipient for a briefing on applicable U.S. Government and HHS/CDC expectations, regulations and key management requirements, as well as report formats and contents. The orientation could include meetings with staff from HHS agencies and/or other parts of the USG.
2. Review and make recommendations as necessary to the process used by the recipient to select key personnel and/or post-award subcontractors and/or sub recipients to be involved in the activities performed under this agreement.
3. Provide technical assistance, as mutually agreed upon, and revise annually during validation of the first and subsequent annual work plans. This could include expert technical assistance and targeted training activities in specialized areas, such as surveillance, use of data for program planning purposes, lab programs etc.
4. Provide technical assistance, where applicable, to help the recipient meet U.S. Government financial and reporting requirements approved by the Office of Management and Budget (OMB).
5. Collaborate with the recipient on designing and implementing the activities listed above, including, but not limited to: the provision of technical assistance to develop program activities, data management and analysis, quality assurance, surveillance program, the presentation and
possibly publication of program results and findings, and the management and tracking of finances.
6. CDC offices in-country, where applicable, may assist the recipient in identifying and connecting with other partners working towards the objective of this NOFO and the recipient shall ensure work is not duplicative but complementary and supportive to existing efforts funded by CDC and the rest of the USG.
7. CDC, via project officer, will provide contact for in-country staff, Subject Matter Experts (SMEs) and technical leads from CDC where applicable for the recipient to coordinate activities at the country level.
8. Provide technical assistance or advice on any data collections on 10 or more people that are planned or conducted by the recipient. All such data collections-- where CDC staff will be or are approving, directing, conducting, managing, or owning data-- must undergo OMB project determinations by CDC and may require OMB Paperwork Reduction Act (PRA) clearance prior to the start of the project.
9. Provide consultation and scientific and technical assistance based on appropriate HHS/CDC documents to promote the use of best practices known at the time.
10. Assist the recipient in developing and implementing quality-assurance criteria and procedures.
11. Serve as co-authors on manuscripts and dissemination products developed as part of this project.
12. Facilitate in-country planning and review meetings for technical assistance activities.
13. Provide technical oversight for all activities under this award.
14. Ensure the recipient?s Evaluation and Performance Measurement Plan is aligned with the strategic information guidance established by HHS/CDC and USG.
15. Provide ethical reviews, as necessary, for evaluation activities, including from HHS/CDC headquarters. Evaluations can be process, outcome or impact
a. Process Evaluation: measures how the intervention was delivered, what worked/did not, differences between the intended population and the population served, and access to the intervention
b. Outcome Evaluation: determines effects of intervention in target population(s) (e.g., change in knowledge, attitudes, behavior, capacity, etc.)
c. Impact Evaluation: measures net effects of program and prove of causality
16. Supply the recipient with protocols for related evaluations and/or assessment

B. Award Information

1. Funding Instrument Type: Cooperative Agreement
   CDC's substantial involvement in this program appears in the CDC Program Support to Recipients Section.

2. Award Mechanism: U2H

3. Fiscal Year: 2020
4. Approximate Total Fiscal Year Funding: $3,000,000
5. Approximate Period of Performance Funding: $15,000,000
This amount is subject to the availability of funds.

Estimated Total Funding: $150,000,000

6. **Approximate Period of Performance Length:** 5 year(s)
7. **Expected Number of Awards:** 15

8. **Approximate Average Award:** $2,000,000 Per Budget Period

9. **Award Ceiling:** $3,000,000 Per Budget Period

This amount is subject to the availability of funds.
There is no award ceiling for this NOFO.

10. **Award Floor:** $0 Per Budget Period

11. **Estimated Award Date:** 09/30/2020
12. **Budget Period Length:** 12 month(s)

Throughout the project period, CDC will continue the award based on the availability of funds, the evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the federal government. The total number of years for which federal support has been approved (project period) will be shown in the “Notice of Award.” This information does not constitute a commitment by the federal government to fund the entire period. The total period of performance comprises the initial competitive segment and any subsequent non-competitive continuation award(s).

13. **Direct Assistance**
Direct Assistance (DA) is not available through this NOFO.

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**C. Eligibility Information**

**1. Eligible Applicants**

<table>
<thead>
<tr>
<th>Eligibility Category:</th>
<th>State governments</th>
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<tbody>
<tr>
<td></td>
<td>County governments</td>
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<td></td>
<td>City or township governments</td>
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<td>Special district governments</td>
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<td></td>
<td>Independent school districts</td>
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<td></td>
<td>Public and State controlled institutions of higher education</td>
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<td></td>
<td>Native American tribal governments (Federally recognized)</td>
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<td></td>
<td>Public housing authorities/Indian housing authorities</td>
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<td></td>
<td>Native American tribal organizations</td>
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</table>
(other than Federally recognized tribal governments)
Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education
Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education
Private institutions of higher education
For profit organizations other than small businesses
Small businesses
Others (see text field entitled "Additional Information on Eligibility" for clarification)
Unrestricted (i.e., open to any type of entity above), subject to any clarification in text field entitled "Additional Information on Eligibility"

Additional Eligibility Category:

Government Organizations:

State governments or their bona fide agents (includes the District of Columbia)
Local governments or their bona fide agents
Territorial governments or their bona fide agents in the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.
State controlled institutions of higher education
American Indian or Alaska Native tribal governments (federally recognized or state-recognized)

Non-government Organizations:
American Indian or Alaska native tribally designated organizations

Other:

Ministries of Health

2. Additional Information on Eligibility
This is an open competition NOFO.

3. Justification for Less than Maximum Competition

4. Cost Sharing or Matching
Cost Sharing / Matching Requirement: No

5. Maintenance of Effort
N/A

D. Application and Submission Information

1. Required Registrations
An organization must be registered at the three following locations before it can submit an application for funding at www.grants.gov.

a. Data Universal Numbering System:
All applicant organizations must obtain a Data Universal Numbering System (DUNS) number. A DUNS number is a unique nine-digit identification number provided by Dun & Bradstreet (D&B). It will be used as the Universal Identifier when applying for federal awards or cooperative agreements.
The applicant organization may request a DUNS number by telephone at 1-866-705-5711 (toll free) or internet at http://fedgov.dnb.com/webform/displayHomePage.do. The DUNS number will be provided at no charge.
If funds are awarded to an applicant organization that includes sub-recipients, those sub-recipients must provide their DUNS numbers before accepting any funds.

b. System for Award Management (SAM):
The SAM is the primary registrant database for the federal government and the repository into which an entity must submit information required to conduct business as a recipient. All applicant organizations must register with SAM, and will be assigned a SAM number. All information relevant to the SAM number must be current at all times during which the applicant has an application under consideration for funding by CDC. If an award is made, the SAM information must be maintained until a final financial report is submitted or the final payment is
received, whichever is later. The SAM registration process can require 10 or more business days, and registration must be renewed annually. Additional information about registration procedures may be found at [https://www.sam.gov/SAM/](https://www.sam.gov/SAM/).

c. **Grants.gov:**
The first step in submitting an application online is registering your organization at [www.grants.gov](http://www.grants.gov), the official HHS E-grant Web site. Registration information is located at the "Applicant Registration" option at [www.grants.gov](http://www.grants.gov).
All applicant organizations must register at [www.grants.gov](http://www.grants.gov). The one-time registration process usually takes not more than five days to complete. Applicants should start the registration process as early as possible.

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<thead>
<tr>
<th>Step</th>
<th>System</th>
<th>Requirements</th>
<th>Duration</th>
<th>Follow Up</th>
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</table>
| 1    | Data Universal Number System (DUNS) | 1. Click on [http://fedgov.dnb.com/webform](http://fedgov.dnb.com/webform)  
2. Select Begin DUNS search/request process  
3. Select your country or territory and follow the instructions to obtain your DUNS 9-digit #  
4. Request appropriate staff member(s) to obtain DUNS number, verify & update information under DUNS number | 1-2 Business Days | To confirm that you have been issued a new DUNS number check online at [http://fedgov.dnb.com/webform](http://fedgov.dnb.com/webform) or call 1-866-705-5711 |
| 2    | System for Award Management (SAM) formerly Central Contractor Registration (CCR) | 1. Retrieve organizations DUNS number  
2. Go to [https://www.sam.gov/SAM/](https://www.sam.gov/SAM/) and designate an E-Biz POC (note CCR username will not work in SAM and you will need to have an active SAM account before you can register on grants.gov) | 3-5 Business Days but up to 2 weeks and must be renewed once a year | For SAM Customer Service Contact [https://fsd.gov/fsd-gov/home.do](https://fsd.gov/fsd-gov/home.do) Calls: 866-606-8220 |
| 3    | Grants.gov | 1. Set up an individual account in Grants.gov using organization new DUNS number to become an authorized organization representative (AOR)  
2. Once the account is set up the E-BIZ POC will be | Same day but can take 8 weeks to be fully registered and approved in | Register early! Log into grants.gov and check AOR status until it shows you have been approved |
2. Request Application Package
Applicants may access the application package at www.grants.gov.

3. Application Package
Applicants must download the SF-424, Application for Federal Assistance, package associated with this notice of funding opportunity at www.grants.gov.

4. Submission Dates and Times
If the application is not submitted by the deadline published in the NOFO, it will not be processed. Office of Grants Services (OGS) personnel will notify the applicant that their application did not meet the deadline. The applicant must receive pre-approval to submit a paper application (see Other Submission Requirements section for additional details). If the applicant is authorized to submit a paper application, it must be received by the deadline provided by OGS.

a. Letter of Intent Deadline (must be emailed or postmarked by)
Due Date for Letter of Intent: N/A

b. Application Deadline
Due Date for Applications: **05/04/2020**, 11:59 p.m. U.S. Eastern Standard Time, at www.grants.gov. If Grants.gov is inoperable and cannot receive applications, and circumstances preclude advance notification of an extension, then applications must be submitted by the first business day on which grants.gov operations resume.

Date for Information Conference Call
N/A

5. CDC Assurances and Certifications
All applicants are required to sign and submit “Assurances and Certifications” documents indicated at http://wwwn.cdc.gov/grantassurances/ (S(mj444mxc511hrv1h1i1j1maa))/Homepage.aspx.
Applicants may follow either of the following processes:

- Complete the applicable assurances and certifications with each application submission, name the file “Assurances and Certifications” and upload it as a PDF file with at [www.grants.gov](http://www.grants.gov).
- Complete the applicable assurances and certifications and submit them directly to CDC on an annual basis at [http://www.cdc.gov/grantassurances](http://www.cdc.gov/grantassurances/)(S(mj444mxct51lnrv1hljjjmaa))/ Homepage.aspx

Assurances and certifications submitted directly to CDC will be kept on file for one year and will apply to all applications submitted to CDC by the applicant within one year of the submission date.

**Risk Assessment Questionnaire Requirement**

CDC is required to conduct pre-award risk assessments to determine the risk an applicant poses to meeting federal programmatic and administrative requirements by taking into account issues such as financial instability, insufficient management systems, non-compliance with award conditions, the charging of unallowable costs, and inexperience. The risk assessment will include an evaluation of the applicant’s CDC Risk Questionnaire, located at [https://www.cdc.gov/grants/documents/PPMR-G-CDC-Risk-Questionnaire.pdf](https://www.cdc.gov/grants/documents/PPMR-G-CDC-Risk-Questionnaire.pdf), as well as a review of the applicant’s history in all available systems; including OMB-designated repositories of government-wide eligibility and financial integrity systems (see 45 CFR 75.205(a)), and other sources of historical information. These systems include, but are not limited to: FAPIIS (https://www.fapiis.gov/), including past performance on federal contracts as per Duncan Hunter National Defense Authorization Act of 2009; Do Not Pay list; and System for Award Management (SAM) exclusions.

CDC requires all applicants to complete the Risk Questionnaire, OMB Control Number 0920-1132 annually. This questionnaire, which is located at [https://www.cdc.gov/grants/documents/PPMR-G-CDC-Risk-Questionnaire.pdf](https://www.cdc.gov/grants/documents/PPMR-G-CDC-Risk-Questionnaire.pdf), along with supporting documentation must be submitted with your application by the closing date of the Notice of Funding Opportunity Announcement. If your organization has completed CDC’s Risk Questionnaire within the past 12 months of the closing date of this NOFO, then you must submit a copy of that questionnaire, or submit a letter signed by the authorized organization representative to include the original submission date, organization’s EIN and DUNS. When uploading supporting documentation for the Risk Questionnaire into this application package, clearly label the documents for easy identification of the type of documentation. For example, a copy of Procurement policy submitted in response to the questionnaire may be labeled using the following format: Risk Questionnaire Supporting Documents _ Procurement Policy.

**Duplication of Efforts**

Applicants are responsible for reporting if this application will result in programmatic, budgetary, or commitment overlap with another application or award (i.e. grant, cooperative agreement, or contract) submitted to another funding source in the same fiscal year. Programmatic overlap occurs when (1) substantially the same project is proposed in more than
one application or is submitted to two or more funding sources for review and funding consideration or (2) a specific objective and the project design for accomplishing the objective are the same or closely related in two or more applications or awards, regardless of the funding source. Budgetary overlap occurs when duplicate or equivalent budgetary items (e.g., equipment, salaries) are requested in an application but already are provided by another source. Commitment overlap occurs when an individual’s time commitment exceeds 100 percent, whether or not salary support is requested in the application. Overlap, whether programmatic, budgetary, or commitment of an individual’s effort greater than 100 percent, is not permitted. Any overlap will be resolved by the CDC with the applicant and the PD/PI prior to award. Report Submission: The applicant must upload the report in Grants.gov under “Other Attachment Forms.” The document should be labeled: "Report on Programmatic, Budgetary, and Commitment Overlap.”

6. Content and Form of Application Submission
Applicants are required to include all of the following documents with their application package at www.grants.gov.

7. Letter of Intent
LOI is not requested or required as part of the application for this NOFO.

8. Table of Contents
(There is no page limit. The table of contents is not included in the project narrative page limit.): The applicant must provide, as a separate attachment, the “Table of Contents” for the entire submission package.
Provide a detailed table of contents for the entire submission package that includes all of the documents in the application and headings in the "Project Narrative" section. Name the file "Table of Contents" and upload it as a PDF file under "Other Attachment Forms" at www.grants.gov.

9. Project Abstract Summary
(Maximum 1 page)
A project abstract is included on the mandatory documents list and must be submitted at www.grants.gov. The project abstract must be a self-contained, brief summary of the proposed project including the purpose and outcomes. This summary must not include any proprietary or confidential information. Applicants must enter the summary in the "Project Abstract Summary" text box at www.grants.gov.

10. Project Narrative
(Unless specified in the "H. Other Information" section, maximum of 20 pages, single spaced, 12 point font, 1-inch margins, number all pages. This includes the work plan. Content beyond the specified page number will not be reviewed.)
Applicants must submit a Project Narrative with the application forms. Applicants must name this file “Project Narrative” and upload it at www.grants.gov. The Project Narrative must
include all of the following headings (including subheadings): Background, Approach, Applicant Evaluation and Performance Measurement Plan, Organizational Capacity of Applicants to Implement the Approach, and Work Plan. The Project Narrative must be succinct, self-explanatory, and in the order outlined in this section. It must address outcomes and activities to be conducted over the entire period of performance as identified in the CDC Project Description section. Applicants should use the federal plain language guidelines and Clear Communication Index to respond to this Notice of Funding Opportunity. Note that recipients should also use these tools when creating public communication materials supported by this NOFO. Failure to follow the guidance and format may negatively impact scoring of the application.

a. Background
Applicants must provide a description of relevant background information that includes the context of the problem (See CDC Background).

b. Approach

i. Purpose
Applicants must describe in 2-3 sentences specifically how their application will address the public health problem as described in the CDC Background section.

ii. Outcomes
Applicants must clearly identify the outcomes they expect to achieve by the end of the project period, as identified in the logic model in the Approach section of the CDC Project Description. Outcomes are the results that the program intends to achieve and usually indicate the intended direction of change (e.g., increase, decrease).

iii. Strategies and Activities
Applicants must provide a clear and concise description of the strategies and activities they will use to achieve the period of performance outcomes. Applicants must select existing evidence-based strategies that meet their needs, or describe in the Applicant Evaluation and Performance Measurement Plan how these strategies will be evaluated over the course of the project period. See the Strategies and Activities section of the CDC Project Description.

1. Collaborations
Applicants must describe how they will collaborate with programs and organizations either internal or external to CDC. Applicants must address the Collaboration requirements as described in the CDC Project Description.

2. Target Populations and Health Disparities
Applicants must describe the specific target population(s) in their jurisdiction and explain how such a target will achieve the goals of the award and/or alleviate health disparities. The applicants must also address how they will include specific populations that can benefit from the program that is described in the Approach section. Applicants must address the Target
Populations and Health Disparities requirements as described in the CDC Project Description.

c. Applicant Evaluation and Performance Measurement Plan
Applicants must provide an evaluation and performance measurement plan that demonstrates how the recipient will fulfill the requirements described in the CDC Evaluation and Performance Measurement and Project Description sections of this NOFO. At a minimum, the plan must describe:

- How applicant will collect the performance measures, respond to the evaluation questions, and use evaluation findings for continuous program quality improvement. The Paperwork Reduction Act of 1995 (PRA): Applicants are advised that any activities involving information collections (e.g., surveys, questionnaires, applications, audits, data requests, reporting, recordkeeping and disclosure requirements) from 10 or more individuals or non-Federal entities, including State and local governmental agencies, and funded or sponsored by the Federal Government are subject to review and approval by the Office of Management and Budget. For further information about CDC’s requirements under PRA see https://www.cdc.gov/od/science/integrity/reducePublicBurden/.
- How key program partners will participate in the evaluation and performance measurement planning processes.
- Available data sources, feasibility of collecting appropriate evaluation and performance data, data management plan (DMP), and other relevant data information (e.g., performance measures proposed by the applicant).

Where the applicant chooses to, or is expected to, take on specific evaluation studies, they should be directed to:

- Describe the type of evaluations (i.e., process, outcome, or both).
- Describe key evaluation questions to be addressed by these evaluations.
- Describe other information (e.g., measures, data sources).

Recipients will be required to submit a more detailed Evaluation and Performance Measurement plan (including the DMP elements) within the first 6 months of award, as described in the Reporting Section of this NOFO.

d. Organizational Capacity of Applicants to Implement the Approach
Applicants must address the organizational capacity requirements as described in the CDC Project Description.

11. Work Plan
(Included in the Project Narrative’s page limit)
Applicants must prepare a work plan consistent with the CDC Project Description Work Plan section. The work plan integrates and delineates more specifically how the recipient plans to carry out achieving the period of performance outcomes, strategies and activities, evaluation and performance measurement.

12. Budget Narrative
Applicants must submit an itemized budget narrative. When developing the budget narrative, applicants must consider whether the proposed budget is reasonable and consistent with the purpose, outcomes, and program strategy outlined in the project narrative. The budget must include:

- Salaries and wages
- Fringe benefits
- Consultant costs
- Equipment
- Supplies
- Travel
- Other categories
- Contractual costs
- Total Direct costs
- Total Indirect costs

Indirect costs could include the cost of collecting, managing, sharing and preserving data. Indirect costs on grants awarded to foreign organizations and foreign public entities and performed fully outside of the territorial limits of the U.S. may be paid to support the costs of compliance with federal requirements at a fixed rate of eight percent of MTDC exclusive of tuition and related fees, direct expenditures for equipment, and subawards in excess of $25,000. Negotiated indirect costs may be paid to the American University, Beirut, and the World Health Organization.

If applicable and consistent with the cited statutory authority for this announcement, applicant entities may use funds for activities as they relate to the intent of this NOFO to meet national standards or seek health department accreditation through the Public Health Accreditation Board (see: http://www.phaboard.org). Applicant entities to whom this provision applies include state, local, territorial governments (including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), or their bona fide agents, political subdivisions of states (in consultation with states), federally recognized or state-recognized American Indian or Alaska Native tribal governments, and American Indian or Alaska Native tribally designated organizations. Activities include those that enable a public health organization to deliver public health services such as activities that ensure a capable and qualified workforce, up-to-date information systems, and the capability to assess and respond to public health needs. Use of these funds must focus on achieving a minimum of one national standard that supports the intent of the NOFO. Proposed activities must be included in the budget narrative and must
indicate which standards will be addressed. Vital records data, including births and deaths, are used to inform public health program and policy decisions. If applicable and consistent with the cited statutory authority for this NOFO, applicant entities are encouraged to collaborate with and support their jurisdiction’s vital records office (VRO) to improve vital records data timeliness, quality and access, and to advance public health goals. Recipients may, for example, use funds to support efforts to build VRO capacity through partnerships; provide technical and/or financial assistance to improve vital records timeliness, quality or access; or support vital records improvement efforts, as approved by CDC.

Applicants must name this file “Budget Narrative” and upload it as a PDF file at www.grants.gov. If requesting indirect costs in the budget, a copy of the indirect cost-rate agreement is required. If the indirect costs are requested, include a copy of the current negotiated federal indirect cost rate agreement or a cost allocation plan approval letter for those Recipients under such a plan. Applicants must name this file “Indirect Cost Rate” and upload it at www.grants.gov.

13. Funds Tracking
Proper fiscal oversight is critical to maintaining public trust in the stewardship of federal funds. Effective October 1, 2013, a new HHS policy on subaccounts requires the CDC to set up payment subaccounts within the Payment Management System (PMS) for all new grant awards. Funds awarded in support of approved activities and drawdown instructions will be identified on the Notice of Award in a newly established PMS subaccount (P subaccount). Recipients will be required to draw down funds from award-specific accounts in the PMS. Ultimately, the subaccounts will provide recipients and CDC a more detailed and precise understanding of financial transactions. The successful applicant will be required to track funds by P-accounts/sub accounts for each project/cooperative agreement awarded. Applicants are encouraged to demonstrate a record of fiscal responsibility and the ability to provide sufficient and effective oversight. Financial management systems must meet the requirements as described 2 CFR 200 which include, but are not limited to, the following:

- Records that identify adequately the source and application of funds for federally-funded activities.
- Effective control over, and accountability for, all funds, property, and other assets.
- Comparison of expenditures with budget amounts for each Federal award.
- Written procedures to implement payment requirements.
- Written procedures for determining cost allowability.
- Written procedures for financial reporting and monitoring.

14. Intergovernmental Review
Executive Order 12372 does not apply to this program.

15. Pilot Program for Enhancement of Employee Whistleblower Protections
Pilot Program for Enhancement of Employee Whistleblower Protections: All applicants will be subject to a term and condition that applies the terms of 48 Code of Federal Regulations (CFR) section 3.908 to the award and requires that recipients inform their employees in writing (in the predominant native language of the workforce) of employee whistleblower rights and protections under 41 U.S.C. 4712.

This provision is intended to ensure that the public has access to the results and accomplishments of public health activities funded by CDC. Pursuant to applicable grant regulations and CDC’s Public Access Policy, Recipient agrees to submit into the National Institutes of Health (NIH) Manuscript Submission (NIHMS) system an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication. Also at the time of submission, Recipient and/or the Recipient’s submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Recipient and/or Recipient’s submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however the author is strongly encouraged to make the subject manuscript available as soon as possible. The recipient must obtain prior approval from the CDC for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Recipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate right to fully comply with this provision and the license reserved by CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

17. Funding Restrictions
Restrictions that must be considered while planning the programs and writing the budget are:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care except as allowed by law.
- Recipients may use funds only for reasonable program purposes, including personnel, travel, supplies, and services.
- Generally, recipients may not use funds to purchase furniture or equipment. Any such proposed spending must be clearly identified in the budget.
- Reimbursement of pre-award costs generally is not allowed, unless the CDC provides written approval to the recipient.
- Other than for normal and recognized executive-legislative relationships, no funds may
be used for:
- publicity or propaganda purposes, for the preparation, distribution, or use of any material designed to support or defeat the enactment of legislation before any legislative body
- the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before any legislative body

- See Additional Requirement (AR) 12 for detailed guidance on this prohibition and additional guidance on lobbying for CDC recipients.
- The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project outcomes and not merely serve as a conduit for an award to another party or provider who is ineligible.
- In accordance with the United States Protecting Life in Global Health Assistance policy, all non-governmental organization (NGO) applicants acknowledge that foreign NGOs that receive funds provided through this award, either as a prime recipient or subrecipient, are strictly prohibited, regardless of the source of funds, from performing abortions as a method of family planning or engaging in any activity that promotes abortion as a method of family planning, or to provide financial support to any other foreign non-governmental organization that conducts such activities. See Additional Requirement (AR) 35 for applicability (https://www.cdc.gov/grants/additionalrequirements/ar-35.html).

Indirect Cost for Foreign Organization
Indirect costs on grants awarded to foreign organizations and foreign public entities, and performed fully outside of the territorial limits of the U.S. may be paid to support the costs of compliance with federal requirements at a fixed rate of eight percent of MTDC exclusive of tuition and related fees, direct expenditures for equipment, and subawards in excess of $25,000. Negotiated indirect costs may be paid to the American University, Beirut, and the World Health Organization. Indirect costs will not be reimbursed under grants to foreign organizations, international organizations, and foreign components of grants to domestic organizations (does not affect indirect cost reimbursement to the domestic entity for domestic activities). All requests for funds contained in the budget shall be stated in U.S. dollars. Once an award is made, CDC will not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

Public Financial Management Clause
The Parties acknowledge that HHS/CDC has the authority to assess the recipient’s systems required to manage the activities supported with US Government funds under this Agreement and that this NOFO is expressly conditioned upon that assessment, as well as any measures, mitigation or means by which the recipient has or will address the vulnerabilities or weaknesses, if any, found in that assessment. The recipient agrees to take the necessary action(s) to address the recommendations or requirements of the assessment as agreed separately in writing with HHS/CDC in accordance with an action plan to be jointly developed to address such recommendations or as otherwise contained in this agreement.
Conference Costs and Fees
U.S. Government funds under this award must not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government’s delegation to an international conference sponsored by a multilateral organization, as defined below, unless approved by CDC in writing.
• Definitions:
  o A foreign government delegation is appointed by the national government (including ministries and agencies but excluding local, state and provincial entities) to act on behalf of the appointing authority at the international conference. A conference participant is a delegate for the purposes of this provision, only when there is an appointment or designation that the individual is authorized to officially represent the government or agency. A delegate may be a private citizen.
  o An international conference is a meeting where there is an agenda, an organizational structure, and delegations from countries other than the conference location, in which country delegations participate through discussion, votes, etc.
  o A multilateral organization is an organization established by international agreement and whose governing body is composed principally of foreign governments or other multilateral organizations.

Trafficking in Persons Provision
• No contractor or sub-recipient under this Agreement that is a private entity may, during the period of time that the award is in effect:
  o engage in trafficking in persons, as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime;
  o procure any sex act on account of which anything of value is given to or received by any person; or
  o use forced labor in the performance of this award.
• If HHS/CDC determines that there is a reasonable basis to believe that any private party contractor or subrecipient has violated paragraph 1 of this section or that an employee of the contractor or subrecipient has violated such a prohibition where that the employee’s conduct is associated with performance of this award or may be imputed to the contractor or subrecipient, HHS/CDC may, without penalty, (i) require the Recipient to terminate immediately the contract or subaward in question or (ii) unilaterally terminate this Agreement in accordance with the termination provision.
• For purposes of this provision, “employee” means an individual who is engaged in the performance in any part of the Project as a direct employee, consultant, or volunteer of any private party contractor or subrecipient.
• The Applicant must include in all subagreements, including subawards and contracts, a provision prohibiting the conduct described in subsection a by private party subrecipients, contractors, or any of their employees.

Prohibition on Assistance to Drug Traffickers
• HHS/CDC reserves the right to terminate assistance to, or take other appropriate measures with respect to, any participant approved by HHS/CDC who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.
• The Applicant agrees not to disburse, or sign documents committing the Applicant to disburse funds to a sub-recipient designated by HHS/CDC ("Designated Sub-recipient") until advised by...
HHS/CDC that: (1) any USG review of the Designated Sub-recipient and its key individuals has been completed; (2) any related certifications have been obtained; and (3) the assistance to the Designated Sub-recipient has been approved.

• The Applicant shall insert the following clause, or its substance, in its agreement with the Designated Sub-recipient:

• The Applicant reserves the right to terminate this Agreement or take other appropriate measures if the [Sub-recipient] or a key individual of the [Sub-recipient] is found to have been convicted of a narcotic offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

**Financing of Terrorism**

Consistent with numerous United Nations Security Council resolutions, including UNSCR 1267 (1999) (http://www.undemocracy.com/S-RES-1269(1999).pdf), UNSCR 1368 (2001) (http://www.undemocracy.com/S-RES-1368(2001).pdf), UNSCR 1373 (2001) (http://www.undemocracy.com/S-RES-1373(2001).pdf), and UNSCR 1989 (2011), both HHS/CDC and the applicant are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. It is the policy of HHS/CDC to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. In accordance with this policy, the Applicant agrees to use reasonable efforts to ensure that none of the HHS/CDC funds provided under this Agreement are used to provide support to individuals or entities associated with terrorism, including those identified on the U.S. Department of Treasury Office of Foreign Assets Control Specially Designated Nationals List. This provision must be included in all subagreements, including contracts and subawards, issued under this award.

**Restriction on Assistance for Military or Paramilitary Purposes or for Police and Prisons**

No funds or other support provided under the award may be used for support to any military or paramilitary force or activity, or for support to any police, prison authority, or other security or law enforcement forces without the prior written consent of HHS/CDC.

**UN Security Council Sanctions List**

It is the policy of HHS/CDC to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities designated for United Nations Security Council sanctions. In accordance with this policy, the applicant agrees to use reasonable efforts to ensure that none of the funds provided under this grant are used to provide support of individuals or entities designated for UN Security Council sanctions (compendium of Security Council Targeted Sanctions Lists at: http://www.un.org/sc/committees/list_compend.shtml). This provision must be included in all sub-agreements, including contracts and sub-awards, issued under this award.

**Worker’s Rights**

No funds or other support provided hereunder may be used for any activity that contributes to the violation of internationally recognized workers’ rights of workers in the recipient country.

In the event the Applicant is requested or wishes to provide assistance in areas that involve workers’ rights or the Applicant requires clarification from HHS/CDC as to whether the activity would be consistent with the limitation set forth above, the Applicant must notify HHS/CDC and provide a detailed description of the proposed activity. The Applicant must not proceed with the activity until advised by HHS/CDC that it may do so.
The Applicant must ensure that all employees and subcontractors and sub-recipients providing employment-related services hereunder are made aware of the restrictions set forth in this clause and must include this clause in all subcontracts and other sub-agreements entered into hereunder.

The term “internationally recognized worker rights” includes-- the right of association; the right to organize and bargain collectively; a prohibition on the use of any form of forced or compulsory labor; a minimum age for the employment of children, and a prohibition on the worst forms of child labor; and acceptable conditions of work with respect to minimum wages, hours of work, and occupational safety and health.

The term “worst forms of child labor” means-- all forms of slavery or practices similar to slavery, such as the sale or trafficking of children, debt bondage and serfdom, or forced or compulsory labor, including forced or compulsory recruitment of children for use in armed conflict; the use, procuring, or offering of a child for prostitution, for the production of pornography or for pornographic purposes; the use, procuring, or offering of a child for illicit activities in particular for the production and trafficking of drugs; and work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety, or morals of children, as determined by the laws, regulations, or competent authority of the country.

### Investment Promotion

No funds or other support provided hereunder may be used to provide a financial incentive to a business enterprise currently located in the United States for the purpose of inducing such an enterprise to relocate outside the United States if such incentive or inducement is likely to reduce the number of employees of such business enterprise in the United States because United States production is being replaced by such enterprise outside the United States.

In the event the Applicant requires clarification from HHS/CDC as to whether the activity would be consistent with the limitation set forth above, the Applicant must notify HHS/CDC and provide a detailed description of the proposed activity. The Applicant must not proceed with the activity until advised by HHS/CDC that it may do so.

The Applicant must ensure that its employees and subcontractors and sub-recipients providing investment promotion services hereunder are made aware of the restrictions set forth in this clause and must include this clause in all subcontracts and other sub-agreements entered into hereunder.

### Contract Insurance Requirement

To the extent that a host government partner enters into contracts expressly approved by the U.S. government, the host country government partner shall ensure that its contractors or subcontractors (a) provide, before commencing performance under any contracts or subcontracts funded under this agreement, such workers' compensation insurance or security as required by HHS/CDC and (b) continue to maintain such insurance until performance is completed. The host country government partner shall insert, in all contracts and subcontracts under this agreement, a clause similar to this clause (including this sentence) imposing upon those contractors and subcontractors the obligation to obtain workers’ compensation insurance or security as required by HHS/CDC.

### Source and Nationality and Other Procurement Restrictions
Disbursements will be used exclusively to finance the costs of goods and services required for this Agreement [in accordance with 22 CFR 228, and] having their source and nationality in countries [included in Geographic Code [937 or 935]] OR [identified in subsection 6 below], except as HHS/CDC may otherwise agree in writing and as follows:

- Ocean transportation costs must be financed under the Agreement only on vessels under flag registry of [countries included in Code 935] OR [the following countries: LIST. Also see subsection 7 below on use of U.S.-flag vessels.
- Any motor vehicles financed under the Agreement will be of United States manufacture, except as HHS/CDC may otherwise agree in writing.
- The nationality of the contractor providing ocean and air shipping services will be deemed to be the ocean vessel's or aircraft's country of registry at the time of shipment.
- Provisions concerning restricted and ineligible goods and services may be provided in subsequent written communications between the parties. Special procurement rules apply to agricultural commodities, pharmaceuticals, pesticides, and fertilizer, none of which may be procured without advance written consent of HHS/CDC.
- Transportation by air of property or persons financed under this agreement will be on carriers holding United States certification to the extent service by such carriers is available under the Fly America Act. This requirement may be further described by HHS/CDC in subsequent written communications between the parties.
- Eligibility Date. No goods or services may be financed under the Agreement which are procured pursuant to orders or contracts firmly placed or entered into prior to the date of this Agreement, except as the Parties may otherwise agree in writing.
- Eligible countries for procurement: HHS/CDC to identify for specific agreement.
- Transportation
  - In addition to the requirements in subsection 1 above, costs of ocean or air transportation and related delivery services may not be financed under this Agreement, if the costs are for transportation under an ocean vessel or air charter which has not received prior HHS/CDC approval.
  - Unless HHS/CDC determines that privately owned U.S.-flag commercial ocean vessels are not available at fair and reasonable rates for such vessels, or otherwise agrees in writing:
    - At least fifty percent (50%) of the gross tonnage of all goods (computed separately for dry bulk carriers, dry cargo liners and tankers) financed by HHS/CDC which may be transported on ocean vessels will be transported on privately owned U.S.-flag commercial vessels; and
    - At least fifty percent (50%) of the gross freight revenue generated by all shipments financed by HHS/CDC and transported to the territory of the Recipient on dry cargo liners shall be paid to or for the benefit of privately owned U.S.-flag commercial vessels. Compliance with the requirements of (1) and (2) of this subsection must be achieved with respect to both any cargo transported from U.S. ports and any cargo transported from non-U.S. ports, computed separately.

**Monitoring and Evaluation Section**

HHS/CDC or its designee will also undertake monitoring and evaluation of the defined activities within the agreement. The recipient must ensure reasonable access by HHS/CDC or its designee to all necessary sites, documentation, individuals and information to monitor, evaluate and verify the appropriate implementation the activities and use of HHS/CDC funding under this Agreement, must require a provision to this effect in all sub-awards or contracts financed by
funds under this Agreement.

**Monitoring Reporting and Evaluation**
CDC programs must ensure that recipient’s Evaluation and Performance Measurement Plan is aligned with the guidance established by HHS/CDC and CDC’s Data for Partner Monitoring Program (DFPM). All evaluations conducted must submit an evaluation report using a format agreed upon by HHS/CDC.

**Human/Animal Subjects Restriction**
All plans for data collection from persons, animals or personal records and for laboratory specimen collection and testing that are expected to result in public reports will require protocols for technical review and review of institutional human or animal subjects protection considerations by CDC. Funds for implementing these activities will be restricted until all necessary institutional protocol approvals have been obtained. Funds for preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation) may be provided prior to protocol approval. To facilitate the early availability of funding, the budget and narrative should clarify which activities are preparatory.

Data collection protocols required for release of human/animal subjects funding restrictions must be submitted to the DGHP Science Office within 6 months of notification of such restrictions, but no later than the end of the first budget year. Requests for exceptions to these deadlines will need to be submitted in writing to the Grants Management Officer.

All protocol approvals should be obtained no later than the end of the subsequent budget period after the award or continuation has been made, provided that the Recipient has not been granted an exception to the deadlines specified above.

### 18. Data Management Plan
As identified in the Evaluation and Performance Measurement section, applications involving data collection must include a Data Management Plan (DMP) as part of their evaluation and performance measurement plan. The DMP is the applicant’s assurance of the quality of the public health data through the data’s lifecycle and plans to deposit data in a repository to preserve and to make the data accessible in a timely manner. See web link for additional information:


### 19. Other Submission Requirements

**a. Electronic Submission:**
Applications must be submitted electronically by using the forms and instructions posted for this notice of funding opportunity at www.grants.gov. Applicants can complete the application package using Workspace, which allows forms to be filled out online or offline. All application attachments must be submitted using a PDF file format. Instructions and training for using Workspace can be found at www.grants.gov under the "Workspace Overview" option.

**b. Tracking Number:** Applications submitted through [www.grants.gov](http://www.grants.gov) are time/date stamped electronically and assigned a tracking number. The applicant’s Authorized Organization
Representative (AOR) will be sent an e-mail notice of receipt when www.grants.gov receives the application. The tracking number documents that the application has been submitted and initiates the required electronic validation process before the application is made available to CDC.

c. Validation Process: Application submission is not concluded until the validation process is completed successfully. After the application package is submitted, the applicant will receive a “submission receipt” e-mail generated by www.grants.gov. A second e-mail message to applicants will then be generated by www.grants.gov that will either validate or reject the submitted application package. This validation process may take as long as two business days. Applicants are strongly encouraged to check the status of their application to ensure that submission of their package has been completed and no submission errors have occurred. Applicants also are strongly encouraged to allocate ample time for filing to guarantee that their application can be submitted and validated by the deadline published in the NOFO. Non-validated applications will not be accepted after the published application deadline date.

If you do not receive a “validation” e-mail within two business days of application submission, please contact www.grants.gov. For instructions on how to track your application, refer to the e-mail message generated at the time of application submission or the Grants.gov Online User Guide.


d. Technical Difficulties: If technical difficulties are encountered at www.grants.gov, applicants should contact Customer Service at www.grants.gov. The www.grants.gov Contact Center is available 24 hours a day, 7 days a week, except federal holidays. The Contact Center is available by phone at 1-800-518-4726 or by e-mail at support@grants.gov. Application submissions sent by e-mail or fax, or on CDs or thumb drives will not be accepted. Please note that www.grants.gov is managed by HHS.

e. Paper Submission: If technical difficulties are encountered at www.grants.gov, applicants should call the www.grants.gov Contact Center at 1-800-518-4726 or e-mail them at support@grants.gov for assistance. After consulting with the Contact Center, if the technical difficulties remain unresolved and electronic submission is not possible, applicants may e-mail CDC GMO/GMS, before the deadline, and request permission to submit a paper application. Such requests are handled on a case-by-case basis. An applicant’s request for permission to submit a paper application must:

1. Include the www.grants.gov case number assigned to the inquiry
2. Describe the difficulties that prevent electronic submission and the efforts taken with the www.grants.gov Contact Center to submit electronically; and
3. Be received via e-mail to the GMS/GMO listed below at least three calendar days before the application deadline. Paper applications submitted without prior approval will not be considered.

If a paper application is authorized, OGS will advise the applicant of specific
instructions for submitting the application (e.g., original and two hard copies of the application by U.S. mail or express delivery service).

**E. Review and Selection Process**

1. **Review and Selection Process: Applications will be reviewed in three phases**

a. **Phase I Review**

All applications will be initially reviewed for eligibility and completeness by CDC Office of Grants Services. Complete applications will be reviewed for responsiveness by the Grants Management Officials and Program Officials. Non-responsive applications will not advance to Phase II review. Applicants will be notified that their applications did not meet eligibility and/or published submission requirements.

b. **Phase II Review**

A review panel will evaluate complete, eligible applications in accordance with the criteria below.

i. **Approach**

ii. **Evaluation and Performance Measurement**

iii. **Applicant’s Organizational Capacity to Implement the Approach**

Not more than thirty days after the Phase II review is completed, applicants will be notified electronically if their application does not meet eligibility or published submission requirements.

<table>
<thead>
<tr>
<th>i. Approach</th>
<th>Maximum Points: 40</th>
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<tbody>
<tr>
<td>a) Demonstrates a clear and concise understanding of the current public health problem and context relevant to the programmatic areas targeted? (10 points)</td>
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<tr>
<td>b) Describes component strategies and activities that are achievable, appropriate to achieve the outcomes of the project, and evidence-based (to the degree practicable). (10 points)</td>
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<tr>
<td>c) Demonstrates technical capacity to implementing these activities? (10 points)</td>
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<tr>
<td>d) Presents an application to include an overall strategy, including measurable timelines, clear M&amp;E procedures, and specific activities for meeting the proposed outcomes? (10 points)</td>
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<tr>
<th>ii. Evaluation and Performance Measurement</th>
<th>Maximum Points: 25</th>
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<tr>
<td>a) Describes clear monitoring and evaluation procedures and how evaluation and performance measurement will be incorporated into planning, implementation, and reporting of project activities. (5 Points)</td>
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<tr>
<td>b) Describes a performance monitoring system used to routinely review data and adjust program activities accordingly? (5 Points)</td>
<td></td>
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<tr>
<td>c) Describes how performance measurement and evaluation findings will be reported, and used to demonstrate the outcomes of the NOFO and for continuous program quality improvement. (5 Points)</td>
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</tr>
<tr>
<td>d) Demonstrates the global experience in organizational and technical capability to implement performance monitoring and rigorous evaluation of the project? (10 points)</td>
<td></td>
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</table>
iii. Applicant's Organizational Capacity to Implement the Approach

<table>
<thead>
<tr>
<th>Maximum Points: 35</th>
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<tbody>
<tr>
<td>a) Demonstrates relevant experience working with high level MOH and NPHI officials in technical, and organizational capacity areas (management, administrative, and technical) to implement the activities and achieve the project outcomes in global public health settings. (15 points)</td>
</tr>
<tr>
<td>b) Demonstrates experience and capacity to implement proposed component activities (10 points)</td>
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<tr>
<td>c) Provides a staffing plan and project management structure that will be sufficient to achieve the project outcomes and which clearly defines staff roles. (5 points)</td>
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<tr>
<td>d) Provides an organizational chart and CV/resume. (5 points)</td>
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Budget

The budget will not be scored but will be reviewed. Is the itemized budget for conducting the project, along with justification, reasonable and consistent with stated objectives and planned program activities? Is the budget itemized, well justified and consistent with the goals of the NOFO? If applicable, did the Applicant clearly indicate activities and budget for each component in their submitted work plan?

c. Phase III Review

Applications will be funded in order by score and rank determined by the review panel unless funding preferences or other considerations stated in this NOFO apply. Final selection and approval of activities will be prioritized in collaboration with CDC. In addition, the following factors may affect the funding decision:

- Funding for this award is subject to change based on CDC budgets, priorities and emerging public health issues and outbreaks. Technical areas and activities approved for funding will be based on USG NPHI priorities. Projects may be funded out of rank order due to USG NPHI priorities and to avoid duplication of NPHI activities in other CDC funding mechanisms.
- Angola, Benin, Burkina Faso, Cambodia, Cameroon, Chad, Colombia, Cote d’Ivoire, Democratic Republic of Congo, Ethiopia, India, Indonesia, Kenya, Liberia, Ghana, Guinea, Madagascar, Malawi, Mali, Mozambique, Nigeria, Pakistan, Sierra Leone, South Africa, Tanzania, Ukraine, Uganda, and Zambia. CDC will provide justification for any decision to fund out of rank order.

Funding decision on which partner and activities to be funded will be made at the time of award. CDC can fund out of rank order in order to: 1) respond to an unforeseen public health emergency or concern in any country of an international concern; 2) align with USG and/or agency prioritized technical areas and activities; 3) align with funding availability for countries or geographic area at the time of award; 4) ensure maximum coverage of GHS activities; and 5) avoid duplication of activities in other CDC funding mechanisms.

In addition, the following two funding factors may affect an applicant’s final score:
Funding Preference 1, Points 10

Funding Preference 1: Preference for organizations that are legally registered to work in countries where the applicant has applied to work.
Deliverable 1: Proof of legal documentation of registration by the applying entity for the countries the applicant has applied for. Applicant must submit documentation for each country they have applied for in order to qualify under the funding preference.
Label for deliverable 1: Funding preference for existing organizations

Funding Preference 2, Points 5

Funding Preference 2: Preference to local and indigenous organizations
Deliverable 2: Letter from the Principle Investigator (PI) clearly demonstrating how the organization meets the published criteria for local/indigenous partner
Label for Deliverable 2: Local Partner Preference
To be considered a local partner for the purposes of Funding Preference 2, the applicant must submit supporting documentation demonstrating how their organization meets one of the three criteria listed below under the “Local Partner definition.” The supporting documentation must be included in the Appendices of the application and must be labeled as “Documentation for Local Partner Definition.” Applicants that do not provide and/or label the supporting documentation required to meet the Local Partner definition will not receive the additional points under Funding Preference 2.

Local Partner Definition

To be considered a local partner under this NOFO, the applicant must submit supporting documentation demonstrating how their organization meets one of the three criteria listed below under the “Local Partner definition.” The supporting documentation must be included in the Appendices of the application and must be labeled as “Eligibility Documentation for Local Partner Definition.” Applicants that do not provide and/or label the supporting documentation required to meet the Local Partner definition above will not be considered eligible for review.

A “local partner” may be an individual or sole proprietorship, an entity, or a joint venture or other arrangement. However, to be considered a local partner in a given country under this NOFO, the partner must meet the criteria under paragraph (1), (2), or (3) below:

1. must be incorporated or legally organized under the laws of, and have its principal place of business in, the country served by the country program with which the entity is or may become involved;
2. must be at least 75% beneficially owned by individuals who are citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (2)(a), or by other corporations, partnerships or other arrangements that are local partners under this paragraph or paragraph (3);
3. at least 75% of the entity’s staff (senior, mid-level, support) must be citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (2)(a), and at least 75% of the entity’s senior staff (i.e., managerial and professional personnel) must be citizens or lawfully admitted permanent residents of such country; and
4. where an entity has a Board of Directors, at least 51% of the members of the Board must also be citizens or lawfully admitted permanent residents of such country; or

(3) a joint venture, unincorporated association, consortium, or other arrangement in which at least 75% of the funding under this award is or will be provided to members who are local partners under the criteria in paragraphs (1) or (2) above, and a local partner is designated as the managing member of the organization. Partner government ministries (e.g., Ministry of Health), sub-units of government ministries, and parastatal organizations in the country are considered local partners. A parastatal organization is defined as a fully or partially government-owned or government-funded organization. Such enterprises may function through a board of directors, similar to private corporations. However, ultimate control over the organization rests with the government.

Note: To be considered a local partner, the applicant must submit supporting documentation demonstrating their organization meets at least one of the three criteria listed above.

**Review of risk posed by applicants.**

Prior to making a Federal award, CDC is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information as appropriate. See also suspension and debarment requirements at 2 CFR parts 180 and 376.

In accordance 41 U.S.C. 2313, CDC is required to review the non-public segment of the OMB-designated integrity and performance system accessible through SAM (currently the Federal Recipient Performance and Integrity Information System (FAPIIS)) prior to making a Federal award where the Federal share is expected to exceed the simplified acquisition threshold, defined in 41 U.S.C. 134, over the period of performance. At a minimum, the information in the system for a prior Federal award recipient must demonstrate a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or procurement awards; and integrity and business ethics. CDC may make a Federal award to a recipient who does not fully meet these standards, if it is determined that the information is not relevant to the current Federal award under consideration or there are specific conditions that can appropriately mitigate the effects of the non-Federal entity's risk in accordance with 45 CFR §75.207.

CDC’s framework for evaluating the risks posed by an applicant may incorporate results of the evaluation of the applicant's eligibility or the quality of its application. If it is determined that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the Federal award. The evaluation criteria is described in this Notice of Funding Opportunity.

In evaluating risks posed by applicants, CDC will use a risk-based approach and may consider any items such as the following:

(1) Financial stability;

(2) Quality of management systems and ability to meet the management standards prescribed in this part;

(3) History of performance. The applicant's record in managing Federal awards, if it is a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to
future awards;
(4) Reports and findings from audits performed under subpart F 45 CFR 75 or the reports and findings of any other available audits; and
(5) The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

CDC must comply with the guidelines on government-wide suspension and debarment in 2 CFR part 180, and require non-Federal entities to comply with these provisions. These provisions restrict Federal awards, subawards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

2. Announcement and Anticipated Award Dates

9/30/2020

F. Award Administration Information

1. Award Notices

_Recipients will receive an electronic copy of the Notice of Award (NOA) from CDC OGS. The NOA shall be the only binding, authorizing document between the recipient and CDC._ The NOA will be signed by an authorized GMO and emailed to the Recipient Business Officer listed in application and the Program Director.

Any applicant awarded funds in response to this Notice of Funding Opportunity will be subject to the DUNS, SAM Registration, and Federal Funding Accountability And Transparency Act Of 2006 (FFATA) requirements.

Unsuccessful applicants will receive notification of these results by e-mail with delivery receipt or by U.S. mail.

2. Administrative and National Policy Requirements

Recipients must comply with the administrative and public policy requirements outlined in 45 CFR Part 75 and the HHS Grants Policy Statement, as appropriate.

Brief descriptions of relevant provisions are available at [http://www.cdc.gov/grants/additionalrequirements/index.html#ui-id-17](http://www.cdc.gov/grants/additionalrequirements/index.html#ui-id-17).


AR-9: Paperwork Reduction Act Requirements
AR-10: Smoke-Free Workplace Requirements
AR-11: Healthy People 2020
AR-12: Lobbying Restrictions (June 2012)
AR-14: Accounting System Requirements
AR-25: Data Management and Access
AR-27: Conference Disclaimer and Use of Logos
AR-35: Protecting Life in Global Health Assistance

The full text of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards, 45 CFR 75, can be found at: https://www.ecfr.gov/cgi-bin/text-idx?node=pt45.1.75

3. Reporting

Reporting provides continuous program monitoring and identifies successes and challenges that recipients encounter throughout the project period. Also, reporting is a requirement for recipients who want to apply for yearly continuation of funding. Reporting helps CDC and recipients because it:

- Helps target support to recipients;
- Provides CDC with periodic data to monitor recipient progress toward meeting the Notice of Funding Opportunity outcomes and overall performance;
- Allows CDC to track performance measures and evaluation findings for continuous quality and program improvement throughout the period of performance and to determine applicability of evidence-based approaches to different populations, settings, and contexts; and
- Enables CDC to assess the overall effectiveness and influence of the NOFO.

The table below summaries required and optional reports. All required reports must be sent electronically to GMS listed in the “Agency Contacts” section of the NOFO copying the CDC Project Officer.

<table>
<thead>
<tr>
<th>Report</th>
<th>When?</th>
<th>Required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recipient Evaluation and Performance Measurement Plan, including Data Management Plan</td>
<td>6 months into award</td>
<td>Yes</td>
</tr>
<tr>
<td>Annual Performance Report (APR)</td>
<td>No later than 120 days before end of budget period. Serves as yearly continuation application.</td>
<td>Yes</td>
</tr>
<tr>
<td>Data on Performance Measures with financial updates</td>
<td>Reports due January 30, April 30, July 30 and October 30</td>
<td>Yes</td>
</tr>
<tr>
<td>Performance Measure Reporting</td>
<td>Annual reports due 90 calendar days after the award year; and quarterly reports due 30 days</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Audit, Books, and Records</strong></td>
<td>When applicable, within 30 days of completion of the audit and no later than nine months after the end of the period under audit</td>
<td>Yes, as applicable</td>
</tr>
<tr>
<td>---</td>
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</tr>
<tr>
<td><strong>Reporting of Foreign Taxes</strong></td>
<td>Reports due April 15, July 15, October 15, and Jan 15</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Expenditure Report</strong></td>
<td>Financial reports due to CDC for each country and program area funded under this NOFO</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Federal Financial Reporting Forms</strong></td>
<td>90 days after the end of the budget period</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Final Performance and Financial Report</strong></td>
<td>90 days after end of period of performance</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Payment Management System (PMS) Reporting</strong></td>
<td>Reports due January 30; April 30; July 30; and October 30</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**a. Recipient Evaluation and Performance Measurement Plan (required)**

With support from CDC, recipients must elaborate on their initial applicant evaluation and performance measurement plan. This plan must be no more than 20 pages; recipients must submit the plan 6 months into the award. HHS/CDC will review and approve the recipient’s monitoring and evaluation plan to ensure that it is appropriate for the activities to be undertaken as part of the agreement, for compliance with the monitoring and evaluation guidance established by HHS/CDC, or other guidance otherwise applicable to this Agreement.

Recipient Evaluation and Performance Measurement Plan (required): This plan should provide additional detail on the following:

**Performance Measurement**

- Performance measures and targets
- The frequency that performance data are to be collected.
- How performance data will be reported.
- How quality of performance data will be assured.
- How performance measurement will yield findings to demonstrate progress towards achieving NOFO goals (e.g., reaching target populations or achieving expected outcomes).
- Dissemination channels and audiences.
- Other information requested as determined by the CDC program.
Evaluation

• The types of evaluations to be conducted (e.g. process or outcome evaluations).
• The frequency that evaluations will be conducted.
• How evaluation reports will be published on a publically available website.
• How evaluation findings will be used to ensure continuous quality and program improvement.
• How evaluation will yield findings to demonstrate the value of the NOFO (e.g., effect on improving public health outcomes, effectiveness of NOFO, cost-effectiveness or cost-benefit).
• Dissemination channels and audiences.

HHS/CDC or its designee will also undertake monitoring and evaluation of the defined activities within the agreement. The recipient must ensure reasonable access by HHS/CDC or its designee to all necessary sites, documentation, individuals and information to monitor, evaluate and verify the appropriate implementation the activities and use of HHS/CDC funding under this Agreement.

b. Annual Performance Report (APR) (required)

The recipient must submit the APR via www.Grantsolutions.gov no later than 120 days prior to the end of the budget period. This report must not exceed 45 pages excluding administrative reporting. Attachments are not allowed, but web links are allowed.
This report must include the following:

• **Performance Measures**: Recipients must report on performance measures for each budget period and update measures, if needed.

• **Evaluation Results**: Recipients must report evaluation results for the work completed to date (including findings from process or outcome evaluations).

• **Work Plan**: Recipients must update work plan each budget period to reflect any changes in period of performance outcomes, activities, timeline, etc.

• **Successes**
  o Recipients must report progress on completing activities and progress towards achieving the period of performance outcomes described in the logic model and work plan.
  o Recipients must describe any additional successes (e.g. identified through evaluation results or lessons learned) achieved in the past year.
  o Recipients must describe success stories.

• **Challenges**
  o Recipients must describe any challenges that hindered or might hinder their ability to complete the work plan activities and achieve the period of performance outcomes.
  o Recipients must describe any additional challenges (e.g., identified through evaluation results or lessons learned) encountered in the past year.

• **CDC Program Support to Recipients**
  o Recipients must describe how CDC could help them overcome challenges to complete activities in the work plan and achieving period of performance
outcomes.

- **Administrative Reporting** (No page limit)
  - SF-424A Budget Information-Non-Construction Programs.
  - Budget Narrative – Must use the format outlined in "Content and Form of Application Submission, Budget Narrative" section.
  - Indirect Cost Rate Agreement.


c. **Performance Measure Reporting (optional)**

CDC programs may require more frequent reporting of performance measures than annually in the APR. If this is the case, CDC programs must specify reporting frequency, data fields, and format for recipients at the beginning of the award period.

The recipient is responsible for managing and monitoring each project, program, sub award, function or activity supported through this Agreement. Recipients must monitor sub awards to ensure that sub recipients have met the programmatic impact requirements as set forth in the sub recipient’s agreement.

Performance reports must contain, for each award, brief information on each of the following:

- A comparison of actual accomplishments with the goals and objectives previously established for the period, including metrics outlined in the monitoring and evaluation plan any findings of an external entity, or both.
- Reasons why established goals for the performance period were not met, if appropriate.
- Other pertinent information including, when appropriate, statutory or Congressional reporting requirements, analysis and explanation of cost overruns or high unit costs reported in financial reports.
- The recipient must immediately notify the awarding agency of developments that have a significant impact on or adverse conditions which materially impair the award-supported activities.
- The Pipeline Analysis report must contain expenditures (by country and program) versus budget as identified in work plan, description of challenges, and explanation of unexpected pipeline (high or low). The Pipeline Analysis report must contain the period of performance, award amount to date, outlay or liquidated amount to date, and the balance of the pipeline, or the award amount to date less the outlay.
- The recipient must submit the original and two copies of annual and quarterly Performance reports and quarterly pipeline analysis. Annual reports must be due 90 calendar days after the award year and quarterly reports must be due 30 days after the reporting period. The final performance reports are due 90 calendar days after the expiration or termination of this Agreement.

Additionally, the following terms apply to all performance measure and evaluation plans and reports:

- CDC programs must ensure that recipient’s Evaluation and Performance Measurement Plan is aligned with the guidance established by HHS/CDC.
• The recipient must ensure reasonable access by HHS/CDC or its designee to all necessary sites, documentation, individuals and information to monitor, evaluate and verify the appropriate implementation of the Activities and use of HHS/CDC funding under this Agreement, must require a provision to this effect in all sub-awards or contracts financed by funds under this Agreement.

• The recipient is required to submit in a timely manner all program results for all relevant programmatic indicators in accordance with U.S. government guidance. All evaluation reports (with or without CDC authors) must adhere to HHS/CDC evaluation standard of practice and must be published on a publicly available Internet website, upon approval from CDC offices.

Audit, Books, and Records Clause (required):

A. Reports and Information. The recipient must furnish HHS/CDC accounting records and such other information and reports relating to the Agreement as HHS/CDC may reasonably request.

B. The Recipient Agreement Books and Records. The recipient must maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred by the recipient, the receipt and use of goods and services acquired by the recipient, agreed-upon cost sharing requirements, the nature and extent of solicitations of prospective suppliers of goods and services acquired by the recipient, the basis of award of recipient contracts and orders, and the overall progress of the Agreement toward completion ("Agreement books and records"). The recipient must maintain Agreement books and records in accordance with generally accepted accounting principles prevailing in the United States, or at the recipient's option, with approval by HHS/CDC, other accounting principles, such as those (1) prescribed by the International Accounting Standards Committee (an affiliate of the International Federation of Accountants), or (2) prevailing in the country of the recipient. Agreement books and records must be maintained for at least three years after the date of last disbursement by HHS/CDC or for such longer period, if any, required to resolve any litigation, claims or audit findings.

C. Partner Government Audit. If $300,000 or more of USG funds are expended by the recipient in its fiscal year under the Agreement, the recipient must have financial audits made of the expenditures in accordance with the following terms, except as the Parties may otherwise agree in writing:

i. The recipient must use its Supreme Audit Institution (SAI), if the SAI is approved by HHS/CDC, or select an independent auditor to perform the audit in accordance with the guidelines issued by HHS/CDC.

ii. The audit must determine whether the receipt and expenditure of the funds provided under the Agreement are presented in accordance with generally accepted accounting principles agreed to in Section 2 above and whether the recipient has complied with the terms of the Agreement. Each audit must be submitted to HHS/CDC no later than nine months after the close of the recipient’s year under audit.

D. Sub-recipient Audits. The recipient, except as the Parties may otherwise agree in writing, must ensure that “covered” sub-recipient, as defined below, are audited, and submit to HHS/CDC, no later than the end of the recipient’s year under audit, in form and substance satisfactory to HHS/CDC, a plan for the audit of the expenditures of “covered” sub-recipients, as defined below, that receive funds under this Agreement pursuant to a direct contract or agreement with the recipient.

i. "Covered" sub-recipient is one who expends $300,000 or more in its fiscal year in "US
Government awards" (i.e. as recipients of US Government cost reimbursable contracts, grants or cooperative agreements).

ii. The plan must describe the methodology to be used by the recipient to satisfy its audit responsibilities for covered sub-recipients. The recipient may satisfy such audit responsibilities by relying on independent audits of the sub-recipients; expanding the scope of the independent financial audit of the recipient to encompass testing of sub-recipient’s accounts; or a combination of these procedures.

iii. The plan must identify the funds made available to sub-recipients that will be covered by audits conducted in accordance with audit provisions that satisfy the recipient’s audit responsibilities.

iv. The recipient must ensure that covered sub-recipients under direct contracts or agreements with the recipient take appropriate and timely corrective actions; consider whether sub-recipients' audits necessitate adjustment of its own records; and require each such sub-recipient to permit independent auditors to have access to records and financial statements as necessary.

E. Audit Reports. The recipient must furnish or cause to be furnished to HHS/CDC an audit report for each audit arranged for by the recipient in accordance with this Section within 30 days after completion of the audit and no later than nine months after the end of the period under audit.

F. Cost of Audits. Subject to HHS/CDC approval in writing, costs of audits performed in accordance with the terms of this Section may be budgeted for, and charged to, the Agreement so long as such costs are allowable, allocable, and reasonable as defined in the Cost Allowability section of this Agreement.

G. Audit by HHS/CDC. HHS/CDC retains the right to perform the audits required under this Agreement on behalf of the recipient conduct a financial review, or otherwise ensure accountability of organizations expending US Government funds regardless of the audit requirement.

H. Opportunity to Audit or Inspect. The recipient must afford authorized representatives of HHS/CDC the opportunity at all reasonable times to audit or inspect activities financed under the Agreement, the utilization of goods and services financed by HHS/CDC, and books, records and other documents relating to the Agreement.

I. Sub-recipient Books and Records. The recipient will incorporate paragraphs (A), (B), (D), (E), (F), (G) and (H) of this provision into all sub-agreements with non-U.S. organizations which meet the $300,000 threshold of paragraph (C) of this provision. Sub-agreements with non-U.S. organizations, which do not meet the $300,000 threshold, must, at a minimum, incorporate paragraphs (G) and (H) of this provision. Sub-agreements with U.S. organizations must state that the U.S. organization is subject to the audit requirements contained in 2 CFR 200 and 45 CFR 75.

Expenditure Report (required):

Recipients is required to report quarterly on program expenditures. The quarterly report must report on funds expended by the recipient at the country and program/activity-level.

d. Federal Financial Reporting (FFR) (required)
The annual FFR form (SF-425) is required and must be submitted 90 days after the end of the budget period. The report must include only those funds authorized and disbursed during the
timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds, and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System’s (PMS) cash transaction data. Failure to submit the required information by the due date may adversely affect the future funding of the project. If the information cannot be provided by the due date, recipients are required to submit a letter of explanation to OGS and include the date by which the Grants Officer will receive information.

e. Final Performance and Financial Report (required)
This report is due 90 days after the end of the period of performance. CDC programs must indicate that this report should not exceed 40 pages. This report covers the entire period of performance and can include information previously reported in APRs. At a minimum, this report must include the following:

- Performance Measures – Recipients must report final performance data for all process and outcome performance measures.
- Evaluation Results – Recipients must report final evaluation results for the period of performance for any evaluations conducted.
- Impact/Results/Success Stories – Recipients must use their performance measure results and their evaluation findings to describe the effects or results of the work completed over the project period, and can include some success stories.
- A final Data Management Plan that includes the location of the data collected during the funded period, for example, repository name and link data set(s)
- Additional forms as described in the Notice of Award (e.g., Equipment Inventory Report, Final Invention Statement).

4. Federal Funding Accountability and Transparency Act of 2006 (FFATA)
Federal Funding Accountability and Transparency Act of 2006 (FFATA), P.L. 109–282, as amended by section 6202 of P.L. 110–252 requires full disclosure of all entities and organizations receiving Federal funds including awards, contracts, loans, other assistance, and payments through a single publicly accessible Web site, http://www.USASpending.gov. Compliance with this law is primarily the responsibility of the Federal agency. However, two elements of the law require information to be collected and reported by applicants: 1) information on executive compensation when not already reported through the SAM, and 2) similar information on all sub-awards/subcontracts/consortiums over $25,000.
For the full text of the requirements under the FFATA and HHS guidelines, go to:

5. Reporting of Foreign Taxes (International/Foreign projects only)

A. Valued Added Tax (VAT) and Customs Duties – Customs and import duties, consular fees, customs surtax, valued added taxes, and other related charges are hereby authorized as an allowable cost for costs incurred for non-host governmental entities operating where no applicable tax exemption exists. This waiver does not apply to countries where a bilateral agreement (or similar legal document) is already in place providing applicable tax exemptions and it is not applicable to Ministries of Health. Successful applicants will receive information on VAT requirements via their Notice of Award.

B. The U.S. Department of State requires that agencies collect and report information on the amount of taxes assessed, reimbursed and not reimbursed by a foreign government against commodities financed with funds appropriated by the U.S. Department of State, Foreign Operations and Related Programs Appropriations Act (SFOAA) (“United States foreign assistance funds”). Outlined below are the specifics of this requirement:

1) Annual Report: The recipient must submit a report on or before November 16 for each foreign country on the amount of foreign taxes charged, as of September 30 of the same year, by a foreign government on commodity purchase transactions valued at 500 USD or more financed with United States foreign assistance funds under this grant during the prior United States fiscal year (October 1 – September 30), and the amount reimbursed and unreimbursed by the foreign government. [Reports are required even if the recipient did not pay any taxes during the reporting period.]

2) Quarterly Report: The recipient must quarterly submit a report on the amount of foreign taxes charged by a foreign government on commodity purchase transactions valued at 500 USD or more financed with United States foreign assistance funds under this grant. This report shall be submitted no later than two weeks following the end of each quarter: April 15, July 15, October 15 and January 15.

3) Terms: For purposes of this clause:
“Commodity” means any material, article, supplies, goods, or equipment;
“Foreign government” includes any foreign government entity;
“Foreign taxes” means value-added taxes and customs duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

4) Where: Submit the reports to the Director and Deputy Director of the CDC office in the country(ies) in which you are carrying out the activities associated with this cooperative agreement. In countries where there is no CDC office, send reports to VATreporting@cdc.gov.

5) Contents of Reports: The reports must contain:
a. recipient name;
b. contact name with phone, fax, and e-mail;
c. agreement number(s) if reporting by agreement(s);
d. reporting period;
e. amount of foreign taxes assessed by each foreign government;
f. amount of any foreign taxes reimbursed by each foreign government;
g. amount of foreign taxes unreimbursed by each foreign government.

6) Subagreements. The recipient must include this reporting requirement in all applicable subgrants and other subagreements.

G. Agency Contacts

CDC encourages inquiries concerning this notice of funding opportunity.

Program Office Contact

For programmatic technical assistance, contact:

Dennis Jarvis, Project Officer
Department of Health and Human Services
Centers for Disease Control and Prevention
Telephone: (404) 639-3191
Email: djarvis@cdc.gov

Grants Staff Contact

For financial, awards management, or budget assistance, contact:

Kenya Anderson, Grants Management Specialist
Department of Health and Human Services
Office of Grants Services
Email: vfz6@cdc.gov

For assistance with submission difficulties related to www.grants.gov, contact the Contact Center by phone at 1-800-518-4726.

Hours of Operation: 24 hours a day, 7 days a week, except on federal holidays.

CDC Telecommunications for persons with hearing loss is available at: TTY 1-888-232-6348

H. Other Information

Following is a list of acceptable attachments applicants can upload as PDF files as part of their application at www.grants.gov. Applicants may not attach documents other than those listed; if other documents are attached, applications will not be reviewed.

- Project Abstract
- Project Narrative
- Budget Narrative
- CDC Assurances and Certifications
• Report on Programmatic, Budgetary and Commitment Overlap
• Table of Contents for Entire Submission

For international NOFOs:

• SF424
• SF424A
• Funding Preference Deliverables

Due to the multiple components, the Project Narrative will be allowed a maximum of 40- pages, single spaced, 12 point font, 1-inch margins, and should have all pages numbered.

**Amendments, Questions and Answers (Q&As)**

Applicants must submit their Q&As, if any, to the Project Officer listed under the Agency Contacts Section of this announcement. CDC will address questions sent to the Agency point of contact 30 days after NOFO publication through an amendment to the NOFO. All changes, updates, and amendments to the NOFO will be posted to [http://www.grants.gov](http://www.grants.gov) following the approval of CDC.

For additional information on reporting requirements, visit the CDC website at: [http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm](http://www.cdc.gov/od/pgo/funding/grants/additional_req.shtm). Other CDC NOFOs can be found on Grants.gov website, at the following Internet address: [http://www.grants.gov](http://www.grants.gov).

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**I. Glossary**

**Activities**: The actual events or actions that take place as a part of the program.

**Administrative and National Policy Requirements, Additional Requirements (ARs)**: Administrative requirements found in 45 CFR Part 75 and other requirements mandated by statute or CDC policy. All ARs are listed in the Template for CDC programs. CDC programs must indicate which ARs are relevant to the NOFO; recipients must comply with the ARs listed in the NOFO. To view brief descriptions of relevant provisions, see [http://www.cdc.gov/grants/ additional_requirements/ index.html](http://www.cdc.gov/grants/ additional_requirements/ index.html). Note that 2 CFR 200 supersedes the administrative requirements (A-110 & A-102), cost principles (A-21, A-87 & A-122) and audit requirements (A-50, A-89 & A-133).

**Approved but Unfunded**: Approved but unfunded refers to applications recommended for approval during the objective review process; however, they were not recommended for funding by the program office and/or the grants management office.

**Assistance Listings (CFDA)**: A government-wide compendium published by the General Services Administration (available on-line in searchable format as well as in printable format as a .pdf file) that describes domestic assistance programs administered by the Federal Government.

**Assistance Listings (CFDA) Number**: A unique number assigned to each program and NOFO throughout its lifecycle that enables data and funding tracking and transparency

**Award**: Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements (e.g., cooperative agreements) in the form of money, or property in lieu of money, by the federal government to an eligible applicant.

**Budget Period or Budget Year**: The duration of each individual funding period within the
project period. Traditionally, budget periods are 12 months or 1 year.

**Carryover:** Unobligated federal funds remaining at the end of any budget period that, with the approval of the GMO or under an automatic authority, may be carried over to another budget period to cover allowable costs of that budget period either as an offset or additional authorization. Obligated but liquidated funds are not considered carryover.

**CDC Assurances and Certifications:** Standard government-wide grant application forms.

**Competing Continuation Award:** A financial assistance mechanism that adds funds to a grant and adds one or more budget periods to the previously established period of performance (i.e., extends the “life” of the award).

**Continuous Quality Improvement:** A system that seeks to improve the provision of services with an emphasis on future results.

**Contracts:** An award instrument used to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the Federal Government.

**Cooperative Agreement:** A financial assistance award with the same kind of interagency relationship as a grant except that it provides for substantial involvement by the federal agency funding the award. Substantial involvement means that the recipient can expect federal programmatic collaboration or participation in carrying out the effort under the award.

**Cost Sharing or Matching:** Refers to program costs not borne by the Federal Government but by the recipients. It may include the value of allowable third-party, in-kind contributions, as well as expenditures by the recipient.

**Direct Assistance:** A financial assistance mechanism, which must be specifically authorized by statute, whereby goods or services are provided to recipients in lieu of cash. DA generally involves the assignment of federal personnel or the provision of equipment or supplies, such as vaccines. DA is primarily used to support payroll and travel expenses of CDC employees assigned to state, tribal, local, and territorial (STLT) health agencies that are recipients of grants and cooperative agreements. Most legislative authorities that provide financial assistance to STLT health agencies allow for the use of DA. [http://www.cdc.gov/grants/additionalrequirements/index.html](http://www.cdc.gov/grants/additionalrequirements/index.html).

**DUNS:** The Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a nine-digit number assigned by Dun and Bradstreet Information Services. When applying for Federal awards or cooperative agreements, all applicant organizations must obtain a DUNS number as the Universal Identifier. DUNS number assignment is free. If requested by telephone, a DUNS number will be provided immediately at no charge. If requested via the Internet, obtaining a DUNS number may take one to two days at no charge. If an organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet at [http://fedgov.dnb.com/webform/displayHomePage.do](http://fedgov.dnb.com/webform/displayHomePage.do).

**Evaluation (program evaluation):** The systematic collection of information about the activities, characteristics, and outcomes of programs (which may include interventions, policies, and specific projects) to make judgments about that program, improve program effectiveness, and/or inform decisions about future program development.

**Evaluation Plan:** A written document describing the overall approach that will be used to guide an evaluation, including why the evaluation is being conducted, how the findings will likely be used, and the design and data collection sources and methods. The plan specifies what will be done, how it will be done, who will do it, and when it will be done. The NOFO evaluation plan is used to describe how the recipient and/or CDC will determine whether activities are implemented appropriately and outcomes are achieved.
Federal Funding Accountability and Transparency Act of 2006 (FFATA): Requires that information about federal awards, including awards, contracts, loans, and other assistance and payments, be available to the public on a single website at www.USAspending.gov.

Fiscal Year: The year for which budget dollars are allocated annually. The federal fiscal year starts October 1 and ends September 30.

Grant: A legal instrument used by the federal government to transfer anything of value to a recipient for public support or stimulation authorized by statute. Financial assistance may be money or property. The definition does not include a federal procurement subject to the Federal Acquisition Regulation; technical assistance (which provides services instead of money); or assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct payments of any kind to a person or persons. The main difference between a grant and a cooperative agreement is that in a grant there is no anticipated substantial programmatic involvement by the federal government under the award.


Grants Management Officer (GMO): The individual designated to serve as the HHS official responsible for the business management aspects of a particular grant(s) or cooperative agreement(s). The GMO serves as the counterpart to the business officer of the recipient organization. In this capacity, the GMO is responsible for all business management matters associated with the review, negotiation, award, and administration of grants and interprets grants administration policies and provisions. The GMO works closely with the program or project officer who is responsible for the scientific, technical, and programmatic aspects of the grant.

Grants Management Specialist (GMS): A federal staff member who oversees the business and other non-programmatic aspects of one or more grants and/or cooperative agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with regulations and guidelines, negotiating grants, providing consultation and technical assistance to recipients, post-award administration and closing out grants.

Health Disparities: Differences in health outcomes and their determinants among segments of the population as defined by social, demographic, environmental, or geographic category.

Health Equity: Striving for the highest possible standard of health for all people and giving special attention to the needs of those at greatest risk of poor health, based on social conditions.

Health Inequities: Systematic, unfair, and avoidable differences in health outcomes and their determinants between segments of the population, such as by socioeconomic status (SES), demographics, or geography.

Healthy People 2030: National health objectives aimed at improving the health of all Americans by encouraging collaboration across sectors, guiding people toward making informed health decisions, and measuring the effects of prevention activities.

Inclusion: Both the meaningful involvement of a community’s members in all stages of the program process and the maximum involvement of the target population that the intervention will benefit. Inclusion ensures that the views, perspectives, and needs of affected communities, care providers, and key partners are considered.

Indirect Costs: Costs that are incurred for common or joint objectives and not readily and specifically identifiable with a particular sponsored project, program, or activity; nevertheless, these costs are necessary to the operations of the organization. For example, the costs of
operating and maintaining facilities, depreciation, and administrative salaries generally are considered indirect costs.

**Intergovernmental Review:** Executive Order 12372 governs applications subject to Intergovernmental Review of Federal Programs. This order sets up a system for state and local governmental review of proposed federal assistance applications. Contact the state single point of contact (SPOC) to alert the SPOC to prospective applications and to receive instructions on the State’s process. Visit the following web address to get the current SPOC list: https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental_-Review-_SPOC_01_2018_OFFM.pdf.

**Letter of Intent (LOI):** A preliminary, non-binding indication of an organization’s intent to submit an application.

**Lobbying:** Direct lobbying includes any attempt to influence legislation, appropriations, regulations, administrative actions, executive orders (legislation or other orders), or other similar deliberations at any level of government through communication that directly expresses a view on proposed or pending legislation or other orders, and which is directed to staff members or other employees of a legislative body, government officials, or employees who participate in formulating legislation or other orders. Grass roots lobbying includes efforts directed at inducing or encouraging members of the public to contact their elected representatives at the federal, state, or local levels to urge support of, or opposition to, proposed or pending legislative proposals.

**Logic Model:** A visual representation showing the sequence of related events connecting the activities of a program with the programs’ desired outcomes and results.

**Maintenance of Effort:** A requirement contained in authorizing legislation, or applicable regulations that a recipient must agree to contribute and maintain a specified level of financial effort from its own resources or other non-government sources to be eligible to receive federal grant funds. This requirement is typically given in terms of meeting a previous base-year dollar amount.

**Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA):** Document that describes a bilateral or multilateral agreement between parties expressing a convergence of will between the parties, indicating an intended common line of action. It is often used in cases where the parties either do not imply a legal commitment or cannot create a legally enforceable agreement.

**Nonprofit Organization:** Any corporation, trust, association, cooperative, or other organization that is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized for profit; and uses net proceeds to maintain, improve, or expand the operations of the organization. Nonprofit organizations include institutions of higher educations, hospitals, and tribal organizations (that is, Indian entities other than federally recognized Indian tribal governments).

**Notice of Award (NoA):** The official document, signed (or the electronic equivalent of signature) by a Grants Management Officer that: (1) notifies the recipient of the award of a grant; (2) contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and (3) provides the documentary basis for recording the obligation of Federal funds in the HHS accounting system.

**Objective Review:** A process that involves the thorough and consistent examination of applications based on an unbiased evaluation of scientific or technical merit or other relevant aspects of the proposal. The review is intended to provide advice to the persons responsible for
making award decisions.

**Outcome:** The results of program operations or activities; the effects triggered by the program. For example, increased knowledge, changed attitudes or beliefs, reduced tobacco use, reduced morbidity and mortality.

**Performance Measurement:** The ongoing monitoring and reporting of program accomplishments, particularly progress toward pre-established goals, typically conducted by program or agency management. Performance measurement may address the type or level of program activities conducted (process), the direct products and services delivered by a program (outputs), or the results of those products and services (outcomes). A “program” may be any activity, project, function, or policy that has an identifiable purpose or set of objectives.

**Period of performance —formerly known as the project period - :** The time during which the recipient may incur obligations to carry out the work authorized under the Federal award. The start and end dates of the period of performance must be included in the Federal award.

**Period of Performance Outcome:** An outcome that will occur by the end of the NOFO’s funding period

**Plain Writing Act of 2010:** The Plain Writing Act of 2010 requires that federal agencies use clear communication that the public can understand and use. NOFOs must be written in clear, consistent language so that any reader can understand expectations and intended outcomes of the funded program. CDC programs should use NOFO plain writing tips when writing NOFOs.

**Program Strategies:** Strategies are groupings of related activities, usually expressed as general headers (e.g., Partnerships, Assessment, Policy) or as brief statements (e.g., Form partnerships, Conduct assessments, Formulate policies).

**Program Official:** Person responsible for developing the NOFO; can be either a project officer, program manager, branch chief, division leader, policy official, center leader, or similar staff member.

**Public Health Accreditation Board (PHAB):** A nonprofit organization that works to promote and protect the health of the public by advancing the quality and performance of public health departments in the U.S. through national public health department accreditation [http://www.phaboard.org](http://www.phaboard.org).

**Social Determinants of Health:** Conditions in the environments in which people are born, live, learn, work, play, worship, and age that affect a wide range of health, functioning, and quality-of-life outcomes and risks.

**Statute:** An act of the legislature; a particular law enacted and established by the will of the legislative department of government, expressed with the requisite formalities. In foreign or civil law any particular municipal law or usage, though resting for its authority on judicial decisions, or the practice of nations.

**Statutory Authority:** Authority provided by legal statute that establishes a federal financial assistance program or award.

**System for Award Management (SAM):** The primary vendor database for the U.S. federal government. SAM validates applicant information and electronically shares secure and encrypted data with federal agencies' finance offices to facilitate paperless payments through Electronic Funds Transfer (EFT). SAM stores organizational information, allowing [www.grants.gov](http://www.grants.gov) to verify identity and pre-fill organizational information on grant applications.

**Technical Assistance:** Advice, assistance, or training pertaining to program development, implementation, maintenance, or evaluation that is provided by the funding agency.
**Work Plan:** The summary of period of performance outcomes, strategies and activities, personnel and/or partners who will complete the activities, and the timeline for completion. The work plan will outline the details of all necessary activities that will be supported through the approved budget.

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