



## Continuation Guidance – Budget Year Five

### Appendix 5

### Direct Assistance Information

#### 1. Direct Assistance (Contracts and Task Orders):

- a. To obligate Direct Assistance funds in an amount of less than \$100,000, each applicant must submit a Performance-based Statement of Work for each contract or task order supported by Direct Assistance Funding.
- b. To obligate Direct Assistance funds in an amount greater than \$100,000, but less than \$500,000, each applicant must submit the following items for each contract or task order supported by Direct Assistance funding:
  - **Performance-based Statement of Work:** The Division of State and Local Readiness maintains a variety of statement of work templates available to any applicant upon request. Although performance-based statements of work are tailored to the specifics of each project, it should contain these common elements:
    - Background - general, non-technical terms and explains why the acquisition is required; its relationship to past, current, or future projects; summary of statutory and applicable program authorities and regulations;
    - Project Objective – a succinct statement of the purpose of the acquisition; outlining expected results; and anticipated benefits.
    - Scope of Work – an overall, non-technical description of the work to be performed; expands upon project objectives, while avoiding going into all of the details required. Identifies and summarizes various phases of the projects; define limits in terms of specific objectives, time, special provisions, or limitations. The Scope of Work must be consistent with the detailed requirements.
    - Detailed Technical Requirements – Clearly and precisely describe the work in terms of **what** is to be the required output rather than either **how** the work will be accomplished or the number of hours to be provided. Provide requirements that do not limit a contractor to providing a specific product or service, rather the contractor is provided with the objectives to be accomplished, the end goal, or the desired achievement, including all pertinent information needed for a contractor or vendor to submit a proposal. As the contractor is, being hired based upon their expertise and ability to perform, the performance-oriented requirements statement of work places maximum responsibility for performance on the contractor. Identify any budgetary, environmental, or other constraints. Clearly and firmly define and the criteria for acceptance for all end supplies or deliverables associated with the contract.



- Reporting Schedule – Specify how the contractor shows that it has fulfilled its obligations. Clearly identify the performance-based criteria to be used by the Government for acceptance. Define the mechanism by which the contractor can demonstrate progress and compliance with the requirements, and present any problems it may have encountered. The preparation and submission of technical and financial progress reports on a timely basis reflect on a contractor's efforts to certify satisfactory progress. Specific requirements to submit periodic financial and technical progress reports, to include format and templates will be provided by the Division of State and Local Readiness.
- Special Consideration – Include all and any information that does not fit into one of the other sections of the statement of work.
- References – Provide a detailed list and description of any studies, reports, and other data referred to elsewhere in the statement of work.
- **Independent Government Cost Estimate:** the government's estimate of the costs associated with a particular contract project. The cost estimate determines the amount of money that should be set aside for funding the project and the cost estimate serves as a standard to which the offeror's costs or price proposals will be compared when the offeror's proposal is evaluated. The cost estimate includes direct costs (i.e., labor, material, travel, per diem, printing, consultants, etc.) and indirect costs (i.e., fringe benefits, overhead, and general and administrative expense rates). This is the government's assessment of the probable cost of the supplies or services to be acquired and serves as a basis for determining the reasonableness of an offeror's proposed costs and understanding of the statement of work. The grant applicant may request assistance in developing a cost estimate from their project officer in the Division of State and Local Readiness.
- **Technical Evaluation Factors:** Clearly states the factors that will be used in evaluating the proposals and the relative importance of each technical factor. Given the relationship that exists between the performance-based statement of work and technical evaluation factors, both are prepared simultaneously. The technical evaluation factors identify the characteristics or attributes that are required to perform the functions necessary to accomplish the performance-based objectives. The Division of State and Local Readiness has a Technical Evaluation Factors template available upon request.
- **Sources of Solicitation** (optional): A list of potential vendors and contractors that have the capability and expertise in the specific field of interest associated your specific project. In developing this list, given particular importance to each source's technical capability, physical resources, experience in a given area, and performance history. If you need assistance in developing a Sources of Solicitation, please contact Gregory Lanman in the Division of State and Local Readiness at (404) 639-7127.



- **Quality Assurance Surveillance Plans:** These plans must recognize the responsibility of the contractor to carry out its quality control obligations and must contain measurable inspections and acceptance criteria corresponding to the performance standards contained in the original performance-based statement of work. This plan must focus on the level of performance required by the performance-based statement of work, rather than the methodology used by the contractor to achieve that level of performance. The plan may also include:
    - technical progress and financial status reports (already a requirement for all direct assistance projects);
    - site visits to evaluate contract performance against scheduled or reported performance;
    - review of invoices and vouchers to assess reasonableness of costs claimed and relate the total expenditures to the physical progress of the contract, based on monitoring activities (i.e., site visits, progress reports, etc.)
2. Please submit the following documents, electronically, to Gregory Lanman in the Division of State and Local Readiness at [GHL2@cdc.gov](mailto:GHL2@cdc.gov):
    - a. **Contract/Task Order less than \$100,000:** Submit a performance-based statement of work as described and outlined in this appendix.
    - b. **Contract/Task Order greater than \$100,000, but less than \$500,000:** Submit a performance-based statement of work; independent cost estimate; technical evaluation factors; sources of solicitation; and quality assurance surveillance plan as described and outlined in this appendix.
    - c. If you are considering a contract or task order in an amount larger than \$500,000; please contact Gregory Lanman in the Division of State and Local Readiness at (404) 639-7127 as soon as possible.
  3. Upon receipt of each contract/task order package, the Division of State and Local Readiness will obtain proposals and quotes for the requested services, supplies, or equipment through federal contract vehicles. The grantee will receive the proposals for review and selection according to their technical evaluation factors. Contract/task order awards will be based upon your evaluation criteria and selection decision.
  4. The Division of State and Local Readiness will obligate all Direct Assistance funding and will assume an active partnership as part of your Quality Assurance Surveillance Plan. This partnership will include oversight of the contract/task order, monitoring contract/task order expenditures and funding balances, and by coordinated site visits by the Project Officers of the Division of State and Local Readiness.
  5. For additional information or if you have any questions, please contact Gregory Lanman in the Division of State and Local Readiness at (404) 639-7127 or by email at [GHL2@cdc.gov](mailto:GHL2@cdc.gov)



## 6. Direct Assistance (Personnel):

- a. Beginning in fiscal year 2004, CDC personnel will be available to provide on-site assistance to state, territorial and local public health agencies in the form of Direct Assistance awards. A limited number of Direct Assistance staff will be available in fiscal year 2004. However, CDC is preparing to expand the program significantly in fiscal year 2005. Placement of these DA personnel will be based on the needs of host agencies in a variety of public health disciplines, including public health management, laboratory science, epidemiology, health communications, and environmental health.
- b. Deployment of direct assistance personnel associated with this cooperative agreement will be coordinated through new CDC's Public Health Readiness Field Program. Management oversight and administrative support for the Public Health Readiness Field Program will be provided by the Field Services activity in the Office of Terrorism Preparedness and Emergency Response.
- c. All Public Health Readiness Field Program staff will receive training in critical aspects of public health preparedness and emergency response to prepare them to respond to local, state, regional and national public health emergencies. The Public Health Readiness Field Program will coordinate and supplement the preparedness functions of the various field programs at CDC, including specific positions in the Career Epidemiology Field Officers (operated by Epidemiology Program Office) and the immunization field staff (operated by the National Immunization Program). In addition, the Public Health Readiness Field Program will include the BioWatch program (operated by the National Center for Infectious Disease) and a **new cadre of public health specialists**.
- d. Requests for Public Health Readiness Field Program assignees during this budget period should be included in the budget and budget justification sections of your annual funding application. Direct Assistance Personnel costs will be based on published pay and allowances/reimbursement rates established by the Office of Personnel Management and the CDC's Human Resource Management Office. The value of personnel for the budget period will be deducted from the amount of financial assistance that would otherwise be made available to the recipient under the applicable allocation, formula, or other determination of award amount but will be deemed to be part of the award and to have been paid to the recipient.
- e. Public Health Readiness Field Program personnel detailed to a recipient remain Federal employees and are subject to increases, adjustments, and any other benefits that would otherwise apply. Provision for changed costs will be negotiated with the recipient in advance as this may change the amount of financial assistance provided. Recipients will be instructed as to the process and timing for submitting travel authorizations and claims for reimbursement as well as other requests to incur costs or be reimbursed for costs related to personnel details. Recipients shall maintain documentation of payments for in-state and local travel costs and other payments on behalf of detailees as grant-related records. These records are subject to review and audit by or on behalf of CDC.



- f. Direct Assistance Personnel assigned through the Public Health Readiness Field Program are subject to the provisions of the existing “Agreement to Detail” that defines the respective responsibilities of CDC and recipients regarding Direct Assistance assignments of CDC personnel. CDC will review this agreement with recipient officials upon execution of the detail.
  - g. If you are interested in the Direct Assistance staffing option, please contact your Division of State and Local Readiness project officer to discuss your specific staffing needs and how to reflect the request for Direct Assistance personnel in your application. Be prepared to discuss the specific duties and responsibilities proposed for the Direct Assistance assignee and where the assignee would work in your organizational structure.
7. For additional information about the Public Health Readiness Field Program and how to request a direct assistance assignee, please contact Glen Koops, Associate Director for Field Services, Office of Terrorism Preparedness and Emergency Response at (404) 639-7530 or by email at [gak3@cdc.gov](mailto:gak3@cdc.gov)