



# Appendix A: Foundational Leadership and Support

## Focus Area Name

Foundational Leadership and Support

## Focus Area Contact Information

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**Approximate Average Annual Award:** \$2,000,000

## Funding Opportunity Description

### 1. Background

Public health laboratory (PHL) systems (including state, territorial, tribal, and local) play an indispensable role in protecting the health of Americans from new, emerging, and existing health threats by conducting laboratory testing and providing other science-based services. Public health professionals and policy makers use actionable information from PHLs daily to identify and prioritize these population health threats and to develop and implement effective interventions. In order to fulfill their critical public health mission, PHLs must be capable and effective at detecting and responding to a myriad of threats across a broad and expanding spectrum of health domains, including infectious and chronic diseases, chemical and radiological exposure, birth defects, foodborne and waterborne diseases, public health emergencies, and others.

Despite their critical functions, PHLs face serious challenges in developing the capacities and capabilities to perform their role. These challenges include the rapid emergence of new disease threats, extensive restructuring of the nation's healthcare system, the accelerating evolution in testing and information that requires improvement in data exchange and interoperability, ensuring safe laboratory practices with existing and new technologies, and enhancing the infrastructure and capacity of the PHL workforce. In addition, PHLs often face persistent fiscal problems, workforce reductions, and other problems that threaten their development of needed capabilities to address public health issues and, in some cases, their ability to perform important testing services.

### Healthy People 2020

This focus area supports the following Healthy People 2020 objectives:

**Public Health Infrastructure, Objective 11:** Increase the proportion of Tribal and State public health agencies that provide or assure comprehensive laboratory services to support essential public health services.

**Public Health Infrastructure, Objective 12:** (Developmental) Increase the proportion of public health laboratory systems (including State, Tribal, and local) which perform at a high level of quality in support of the 10 Essential Public Health Services.

## Other National Public Health Priorities and Strategies

- HHS Strategic Plan, 2018-2022: <https://www.hhs.gov/about/strategic-plan/index.html>
- CDC Strategic Framework, 2016-2020: <https://www.cdc.gov/about/organization/strategic-framework/index.html>

## 2. CDC Project Description

### a. Approach

See Logic Model in Appendix J.

#### I. Purpose

The Foundational Leadership and Support focus area enables and empowers the recipient to achieve the goal of this cooperative agreement - improving the effectiveness of PHLs, both individually and as components of a national system. This cooperative agreement will support the implementation of two core strategies in this focus area: (1) science, management, and operations (2) policy, partnership, and communication. An integrated approach for ensuring organizational excellence is needed for achieving optimal outcomes for all strategic program activities included in this funding announcement.

#### II. Outcomes

Activities in this focus area should achieve or contribute to the following proximal outcomes (refer to section ii, "Outcomes," under Part II, A-2-a or the overall logic model in this NOFO for a full list of outcomes of this cooperative agreement):

**PO-1. Improved collaboration and communication across public health laboratories and other stakeholders**

**PO-2. Improved awareness and understanding of public health laboratories among public and other stakeholders**

**PO-3. Improved support for public health laboratories among stakeholders**

**PO-12. Improved dissemination of evidence-based practices to public health laboratories and other stakeholders**

Activities in this focus area should achieve or contribute to the following intermediate outcomes (refer to section ii, "Outcomes," under Part II, A-2-a or the overall logic model in this NOFO for a full list of outcomes of this cooperative agreement):

**IO-1. Established communities of practice and other collaborative relationships among and between laboratories and other stakeholders**

**IO-2. Established information sharing systems across public health laboratories and with key stakeholders**

#### III. Funding Strategy

CDC funding strategy for this focus area is described in section iv, "Funding Strategy," under Part II, A-2 (CDC Project Description; a. Approach) in this NOFO.



Funds should be used for program activities, which could include: personnel, travel, supplies, equipment, contractual, and consultant support for proposed activities.

Funded recipient is expected to adhere to the requirements of the cooperative agreement. This may include:

- Identifying a designated person with overall responsibility for all activities as well as personnel responsible for each activity;
- Participating in implementation, support, and monitoring efforts at least quarterly.

Budgets should be submitted with sufficient level of detail so that the technical monitor, project officer, or the grants management officer can determine the necessity, reasonableness, and allocability of costs relative to the proposed grant activities, and their allowability pursuant to the applicable federal cost principles and requirements.

#### **IV. Strategies and Activities**

Activities under this focus area should be guided by strategies in the following categories: Science, Management, and Operations (S1) and Policy, Partnership, and Communication (S2).

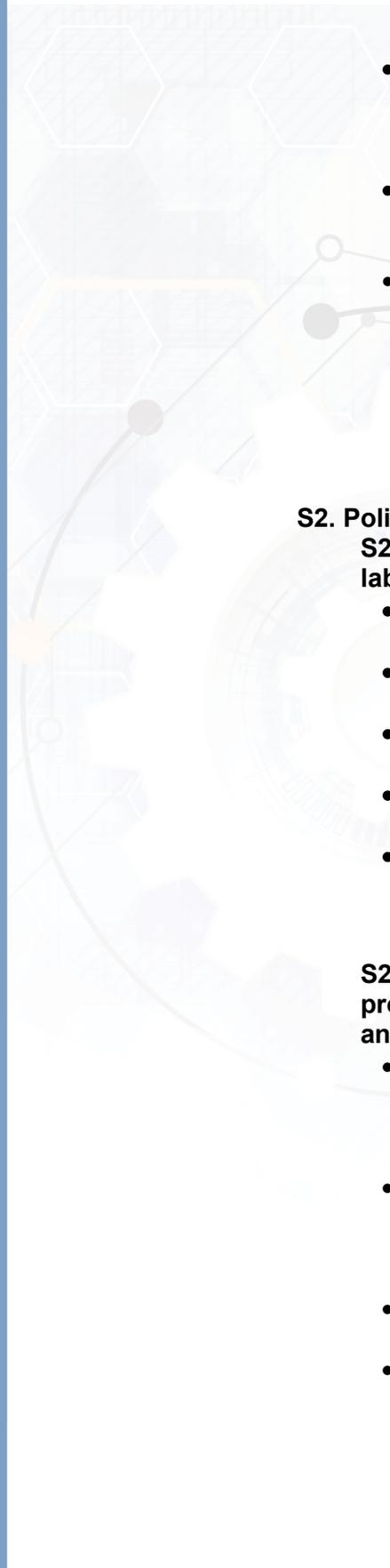
##### **S1. Science, Management, and Operations**

###### **S1.1. Provide leadership and management approaches to ensure organizational efficiency and operational improvement**

- Provide effective organizational leadership, coordination, and support to all focus areas under this cooperative agreement.
- Assess the performance of the overall organization to ensure quality of data, effective program implementation, information sharing, and accountability of funds.
- Develop and maintain reporting tools for the financial management of the cooperative agreement program areas that include detailed costs at the project level.
- Provide reoccurring reports on the utilization of funds across the cooperative agreement with high-level impacts of investment.
- Ensure that program and financial reporting support helps to minimize burden and reduces duplicate efforts across the projects within this cooperative agreement.
- Effectively manage project timelines within the scope of this cooperative agreement.
- Ensure all work is conducted in accordance with public health ethical standards.

###### **S1.2. Provide appropriate monitoring, evaluation, and scientific services**

- Promote quality, integrity, and innovation PHL science, practice, and services, and ensure science-based principles and/or best practices are used in all focus areas under this cooperative agreement.

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- Consult and coordinate with CDC program technical monitors to ensure compliance with applicable federal regulations for scientific activities (e.g., human subjects protection, Paperwork Reduction Act, privacy and confidentiality protection).
  - Develop and implement data sharing plans in accordance with requirements for federally funded activities to promote public access to public health information.
  - Develop a performance monitoring and evaluation plan that supports the evaluation and performance measurement requirements of this cooperative agreement, to ensure data-driven planning and implementation of programmatic activities, progress monitoring, and reporting. The performance monitoring and evaluation plan should be inclusive of how funds are being allocated and spent and progress toward achieving the intended performance objectives.

## **S2. Policy, Partnership, and Communication**

### **S2.1. Provide policy and issues analysis to support public health laboratory interests**

- Engage partners on matters of public health policy on current and emerging issues.
- Identify public health and programmatic policy priorities by engaging appropriate PHL SMEs and other stakeholders.
- Collaborate with PHL leaders to develop position statements reflecting the analysis of identified policy priorities.
- Collaborate with PHL leaders to monitor PHL system capabilities and identify gaps to formulate policies that address laboratory needs.
- Educate policy makers and key stakeholders, including congressional committees and staffers, on the role, value, and importance of public health laboratories.

### **S2.2. Collaborate and build relationships among laboratory professionals and other stakeholders in public health, health care, and beyond**

- Establish and maintain collaborative partnerships with public health and clinical laboratories, health care organizations, government agencies, and other stakeholders to identify mutual goals and objectives within the scope of the cooperative agreement.
- Increase visibility of cooperative agreement projects, activities, financial investments, outcomes and accomplishments, in the nation's public health system (including state, territorial, local, and tribal) with stakeholder communities.
- Conduct partner outreach to promote work that is produced from the cooperative agreement.
- Evaluate the impact of collaborative partnerships on the advancement of mutual priorities.



**S2.3. Facilitate information exchange and dissemination among practitioners and other stakeholders**

- Leverage policy, communication, and other networks to support information exchange and dissemination within and between laboratory and other stakeholder communities.
- Ensure that information sharing minimizes burden, increases access, reduces duplication, and is coordinated across organizations.
- Increase awareness of activities between CDC and recipient collaborative partnership priorities.

**S2.4. Educate the public and other stakeholders about the role of public health laboratories**

- Provide a leading voice and use multifaceted approaches (e.g., online publications, press releases, social media, and other mechanisms) to educate stakeholders and the general public on the critical roles, responsibilities, and needs of PHLs in the public health and health care systems.

**S2.5. Promote and provide information about the tools and resources available to public health laboratories and stakeholders**

- Deliver clear, compelling, targeted, and timely messages, using appropriate communication channels for relevant audiences and plain writing/plain language, as applicable.
- Establish an agreement for logo use (i.e., co-branding and logo licensing) and branding. Institute a protocol with CDC as it applies to products, services, communications materials, websites or other digital platform (e.g., social media, mobile apps), or any other resource in which CDC is engaged in with recipient as part of this cooperative agreement.
- Work with CDC to communicate information and distribute promotional materials and other resources for laboratory professionals, healthcare providers, public health professionals, and the general public.

**b. Evaluation and Performance Measurement**

**I. CDC Evaluation and Performance Measurement Strategy**

The CDC Evaluation and Performance Measurement Strategy for this focus area uses the guidance from the overall CDC Evaluation and Performance Measurement Strategy described in this NOFO (Part II, A-2-b-i. CDC Evaluation and Performance Measurement Strategy), to address the following specific performance measures (including process measures and outcome measures) for this focus area.

Process measures for each of the activities in this focus area may include:

Strategy and Activity	Process Measures
<b>S1.1. Provide leadership and management approaches to ensure organizational efficiency and operational improvement</b>	<ul style="list-style-type: none"> <li>• Established and regularly reviewed organizational system and approaches to provide leadership, direction,</li> </ul>



<ul style="list-style-type: none"><li>● Provide effective organizational leadership, coordination, and support to all focus areas under this cooperative agreement.</li><li>● Assess the performance of the overall organization to ensure quality of data, effective program implementation, information sharing, and accountability of funds.</li><li>● Develop and maintain reporting tools for the financial management of the cooperative agreement focus areas that include detailed costs at the project level.</li><li>● Provide reoccurring reports on the utilization of funds across the cooperative agreement with high-level impacts of investment.</li><li>● Ensure that program and financial reporting support helps to minimize burden and reduces duplicate efforts across the projects within this cooperative agreement.</li><li>● Effectively manage project timelines within the scope of this cooperative agreement.</li><li>● Ensure all work is conducted in accordance with public health ethical standards.</li></ul>	<p>management, coordination, and support to all focus areas.</p> <ul style="list-style-type: none"><li>● System and approaches established and implemented to assess the performance of the overall organization to ensure quality of data, effective program implementation, timely information sharing, accountability of funds, and adherence to public health ethical standards.</li><li>● Reporting tools developed and maintained for the financial management of the cooperative agreement focus areas to include detailed costs at the project level.</li><li>● Reoccurring reports provided to CDC on the utilization of funds across the cooperative agreement with high-level impacts of investment.</li><li>● Burden (e.g., time, effort, and resources involved) and duplicate efforts reduced or minimized across the projects through program and financial reporting support provided to all focus areas.</li><li>● All activity and project timelines are monitored and managed effectively.</li></ul>
<p><b>S1.2. Provide appropriate monitoring, evaluation, and scientific services</b></p> <ul style="list-style-type: none"><li>● Promote quality, integrity, and innovation of PHL science, practice, and services, and ensure science-based principles and/or best practices are used in all focus areas under this cooperative agreement.</li><li>● Consult and coordinate with CDC program technical monitors to ensure compliance with applicable federal regulations for scientific activities (e.g., human subjects protection, Paperwork Reduction Act, privacy and confidentiality protection).</li><li>● Develop and implement data sharing plans in accordance with requirements for federally funded activities to promote public access to public health information.</li><li>● Develop a monitoring and evaluation plan that supports the evaluation and performance measurement requirements of this cooperative agreement, to ensure data-</li></ul>	<ul style="list-style-type: none"><li>● Organizational systems, procedures, and processes established that ensure science-based principles and best practices are used in all focus areas under this cooperative agreement.</li><li>● Processes and procedures established for ensuring quality and integrity of all scientific activities and compliance with applicable requirements.</li><li>● Data sharing plan developed and implemented that enables public access to public health information generated under this cooperative agreement.</li><li>● Monitoring and evaluation plan developed and implemented that meets the evaluation, performance measurement, and reporting requirements of this cooperative agreement.</li></ul>



<p>driven planning and implementation of programmatic activities, progress monitoring, and reporting. The evaluation plan should be inclusive of how funds are being allocated and spent and progress toward achieving the intended performance objectives.</p>	<ul style="list-style-type: none"> <li>Organizational systems established for ensuring appropriate training and competency assessment for all staff of the recipient involved in conducting or supporting this cooperative agreement.</li> </ul>
<p><b>S2.1. Provide policy and issues analysis to support public health laboratory interests</b></p> <ul style="list-style-type: none"> <li>Engage partners on matters of public health policy on current and emerging issues.</li> <li>Identify public health and programmatic policy priorities by engaging appropriate PHL SMEs and other stakeholders.</li> <li>Collaborate with PHL leaders to develop position statements reflecting the analysis of identified policy priorities.</li> <li>Collaborate with PHL leaders to monitor PHL system capabilities and identify gaps to formulate policies that address laboratory needs.</li> <li>Educate policy makers and key stakeholders, including congressional committees and staffers, on the role, value, and importance of public health laboratories.</li> </ul>	<ul style="list-style-type: none"> <li>Number and scope of recipient engagements with CDC, PHLs, clinical laboratories, professional organizations, and other stakeholders on current and emerging public health policy issues.</li> <li>Number, frequency, and timeliness of policy and issues analysis conducted and provided to the PHL community, other stakeholders, and the public.</li> <li>Number and scope of PHL leaders and SMEs engaged in policy/priority analyses.</li> <li>Number and scope of engagements with policymakers, congressional committees and staffers, and other stakeholders to ensure awareness of information and assistance available from the PHL community.</li> </ul>
<p><b>S2.2. Collaborate and build relationships among laboratory professionals and other stakeholders in public health, health care, and beyond</b></p> <ul style="list-style-type: none"> <li>Establish and maintain collaborative partnerships with public health and clinical laboratories, health care organizations, federal/state/local government agencies, and other stakeholders to identify mutual goals and objectives within the scope of the cooperative agreement.</li> <li>Increase visibility of cooperative agreement projects, activities, financial investments, outcomes, and accomplishments in the nation's public health system (including state, territorial, local, and tribal) and stakeholder communities.</li> <li>Conduct partner outreach to promote work that is produced from the cooperative agreement.</li> </ul>	<ul style="list-style-type: none"> <li>Number and scope of recipient's outreach efforts to engage PHLs, clinical laboratories, professional organizations, and other stakeholders in partnerships or collaborations.</li> <li>Number and variety of collaborative efforts or partnerships proposed or planned.</li> <li>Number, frequency, and timeliness of recipient's communication or promotional efforts about projects, activities, outcomes and accomplishments of this cooperative agreement.</li> <li>Number and scope of partners and other stakeholders reached or engaged to promote work produced from the cooperative agreement.</li> <li>Number and frequency of evaluative efforts to assess the impact and effectiveness of the collaborative partnerships.</li> </ul>



<ul style="list-style-type: none"> <li>• Evaluate the impact of collaborative partnerships on the advancement of mutual priorities.</li> </ul>	
<p><b>S2.3. Facilitate information exchange and dissemination among practitioners and other stakeholders</b></p> <ul style="list-style-type: none"> <li>• Leverage policy, communication, and other networks to support information exchange and dissemination within and between laboratory and other stakeholder communities.</li> <li>• Ensure that information sharing minimizes burden, increases access, reduces duplication, and is coordinated across organizations.</li> <li>• Increase awareness of CDC and recipient collaborative partnership priorities and activities.</li> </ul>	<ul style="list-style-type: none"> <li>• Number, frequency, and timeliness of recipient's efforts to support information exchange and dissemination within and between laboratory and other stakeholder communities.</li> <li>• Scope of networks, partners, and collaborators engaged to facilitate information exchange and dissemination.</li> <li>• Scope of practitioners and other stakeholders to be targeted or reached.</li> <li>• Number and scope of partners and other stakeholders reached or engaged to promote CDC and recipient collaborative partnership priorities and disseminate work produced from the cooperative agreement.</li> </ul>
<p><b>S2.4. Educate the public and other stakeholders about the role of public health laboratories</b></p> <ul style="list-style-type: none"> <li>• Provide a leading voice and use multifaceted approaches (e.g., online publications, press releases, social media, and other mechanisms) to educate stakeholders and the general public on the critical roles, responsibilities, and needs of PHLs in the public health and health care systems.</li> </ul>	<ul style="list-style-type: none"> <li>• Number and variety of target audience-appropriate educational materials developed on the critical roles, responsibilities, and needs of PHLs in the public health and health care systems.</li> <li>• Number and variety of audience-appropriate approaches employed for providing the educational messages and materials.</li> <li>• Frequency and timeliness of the educational efforts.</li> </ul>
<p><b>S2.5. Promote and provide information about the tools and resources available to public health laboratories and stakeholders</b></p> <ul style="list-style-type: none"> <li>• Deliver clear, compelling, targeted, and timely messages, using appropriate communication channel for relevant audiences and plain writing/plain language, as applicable.</li> <li>• Establish an agreement for logo use (i.e., co-branding and logo licensing) and branding. Institute a protocol with CDC as it applies to products, services, communications materials, websites or other digital platforms (e.g., social media, mobile apps), or any</li> </ul>	<ul style="list-style-type: none"> <li>• Number frequency, and/or timeliness of clear, compelling, and targeted messages and other information products developed by the recipient about the tools and resources available to PHLs and other stakeholders.</li> <li>• Number and frequency of communicated information products and distributed promotional materials and other resources.</li> <li>• Number and variety of communication channels used and audiences targeted (e.g., laboratory professionals, healthcare providers, public health professionals, general public).</li> </ul>



<p>other resource in which CDC is engaged in with recipient as part of this cooperative agreement.</p> <ul style="list-style-type: none"> <li>• Work with CDC to communicate information and distribute promotional materials and other resources for laboratory professionals, healthcare providers, public health professionals, and the general public.</li> </ul>	<ul style="list-style-type: none"> <li>• Agreement(s) and protocol on branding and logo use developed in collaboration with CDC.</li> </ul>
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Outcome measures for this focus area may include:

<b>Outcome</b>	<b>Outcome Measures</b>
<p><b>PO-1. Improved collaboration and communication across public health laboratories and other stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Number and scope of recipient engagements with CDC, PHLs, clinical laboratories, professional organizations, and other stakeholders that advance mutual goals.</li> <li>• Number and % of state, territorial, and local PHL involved or participating in the collaboration and communication.</li> <li>• Number and extent of clinical laboratories, professional organizations, and other stakeholders involved or participating in the collaboration and communication.</li> </ul>
<p><b>PO-2. Improved awareness and understanding of public health laboratories among public and other stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Number and scope of marketing, communication and membership campaigns to promote the PHLs, CDC, and the products/resources developed by the recipient and CDC.</li> <li>• Frequency and extent of use or further dissemination among the public and other stakeholders (e.g., clinical laboratory communities, healthcare organizations, general public).</li> <li>• Number and variety of information products developed by recipient for the public and other stakeholders addressing the roles, responsibilities, and needs of PHLs.</li> </ul>
<p><b>PO-3. Improved support for public health laboratories among stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Number and scope of engagements with policymakers, professional organizations, and other stakeholders.</li> <li>• Number and scope of new or existing public health priorities reflected in federal, state, territorial, or local level policies.</li> </ul>



<p><b>PO-12. Improved dissemination of evidence-based practices to public health laboratories and other stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Number, variety, frequency, and timeliness of evidence-based practices (e.g., best practices, scientific discoveries, innovative technologies) disseminated to PHLs and other stakeholders.</li> <li>• Number or percent of state, territorial, and local PHLs accessing the information products disseminated.</li> <li>• Number, type, and variety of stakeholders accessing the information products disseminated.</li> </ul>
<p><b>IO-1. Established communities of practice and other collaborative relationships among and between laboratories and other stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Number of communities of practice and other collaborative relationships established among and between laboratories and other stakeholders that advance PHL roles.</li> <li>• Number of state, territorial, and local PHLs participating in these communities of practice or collaborative relationships.</li> <li>• Number and variety of public health topic areas that the communities of practice and collaborative relationships address.</li> </ul>
<p><b>IO-2. Established information sharing systems across public health laboratories and with other key stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Percent of state, territorial, and local PHLs using the information sharing systems.</li> <li>• Number, type, and variety of key stakeholders using the information sharing systems.</li> <li>• Feedback from PHL and other stakeholder communities on the usefulness of the information sharing systems.</li> </ul>

**II. Applicant Evaluation and Performance Measurement Plan**

The recipient will be required to submit a detailed Evaluation and Performance Measurement plan within the first 6 months of award and work with CDC staff to ensure that the evaluation plan is feasible and consistent with proposed focus area activities, the intent of this NOFO, and CDC’s evaluation approach.

**c. Collaborations**

**With CDC funded programs**

General guidance for collaborations with CDC funded programs is described in section a, “With other CDC programs and CDC-funded organizations,” under Part II, A-2-iii-1



(Collaborations) in this NOFO. The recipient is expected to collaborate with other CDC-funded programs to maximize the use of resources and improve the sustainability of the listed activities.

**With organizations external to CDC**

General guidance for collaborations with organizations external to CDC is described in section b, “With organizations not funded by CDC,” under Part II, A-2-iii-1 (Collaborations) in this NOFO. The recipient is expected to provide leadership for enhancing existing and developing new strategic partnerships that best suit the needs of the nation’s PHL system, at state, territorial, tribal, and local levels. Recipient is encouraged to explore opportunities for new collaborations with additional partners to advance public health priorities.

**d. Target populations**

In addition to PHLs and PHL professionals supporting state, local, tribal, and territorial public health programs, the specific target population of this focus area also includes other stakeholders of the PHL system, such as policy makers, clinical laboratories, healthcare organizations, professional organizations, as well as the general public.

**e. Organizational Capacity**

Refer to section c, “Organizational Capacity of Recipients to Implement the Approach” under Part II, A-2 (CDC Project Description) in this NOFO.

**f. Work Plan**

The recipient is required to provide a work plan for this focus area that provides both a high-level overview of the entire five-year period of performance and a detailed description of the first year of the award. The work plan should follow the general guidance provided in section d, “Work Plan” under Part II, A-2 (CDC Project Description) in this NOFO, and address the specific strategies, activities, outcomes, and performance measures of this focus area. After the award is made, the proposed work plan (including the evaluation and performance measurement plan) may be adjusted in collaboration with the CDC Technical Monitor(s) to ensure integration of the strategies and activities and achievement of the period of performance outcomes.

**g. CDC Program Support to Recipient**

CDC’s Division of Laboratory Systems, in collaboration with subject matter experts across the agency, will provide technical monitoring and program support for this focus area as described in section f, “CDC Program Support to Recipients,” under Part II, A-2 (CDC Project Description) in this NOFO. In addition, CDC may participate in all relevant stakeholder and other meetings, either in-person or by teleconference.