

**Support for Health System  
Strengthening of Leadership,  
Governance and Quality  
Improvement in the Ministry of  
Health (MOH) in the Kingdom of  
Swaziland under the President's  
Emergency Plan for AIDS Relief  
(PEPFAR)**

**CDC-RFA-GH15-1584**

Division of Global HIV/AIDS  
Center for Global Health  
Centers for Disease Control and Prevention



## Contents

Part I. Overview Information .....	1
A. Federal Agency Name .....	1
B. Funding Opportunity Title.....	1
C. Announcement Type:.....	1
D. Agency Funding Opportunity Number.....	1
E. Catalog of Federal Domestic Assistance Number.....	1
F. Dates .....	1
G. Executive Summary.....	1
Part II. Full Text.....	2
A. Funding Opportunity Description .....	2
1. Background:.....	2
a. Statutory Authorities.....	3
b. Healthy People 2020: .....	4
c. PEPFAR Priorities and Strategies.....	4
d. Other National Public Health Priorities and Strategies:.....	5
e. Relevant Work:.....	5
2. CDC Project Description .....	6
a. Approach: .....	6
i. Problem Statement: .....	15
ii. Purpose .....	15
iii. Outcomes .....	16
iv. Funding Strategy .....	18
v. Strategies and Activities.....	18
b. Evaluation and Performance Measurement:.....	23
i. CDC Evaluation and Performance Measurement Strategy:.....	23
ii. Applicant Evaluation and Performance Measurement Plan:.....	27
c. Organizational Capacity of Awardees to Execute the Approach: .....	27
d. Work Plan:.....	27
e. CDC Monitoring and Accountability Approach .....	27
f. CDC Program Support to Awardees.....	28
B. Award Information.....	29
1. Type of Award: .....	29
2. Award Mechanism:.....	29
3. Fiscal Year:.....	29
4. Approximate Total Fiscal Year Funding:.....	29
5. Approximate Total Project Period Funding: .....	29
6. Total Project Period Length:.....	30
7. Approximate Number of Awards: .....	30
8. Approximate Average Award: .....	30
9. Floor of Individual Award Range: .....	30
10. Ceiling of Individual Award Range:.....	30

11. Anticipated Award Date: .....	30
12. Budget Period Length: .....	30
13. Funds Tracking:.....	30
14. Direct Assistance: .....	30
15. Indirect Costs:.....	30
C. Eligibility Information.....	30
1. Eligible Applicants: .....	30
2. Special Eligibility Requirements: .....	31
3. Justification for Less than Maximum Competition: .....	31
4. Other: .....	31
5. Cost Sharing or Matching: .....	31
6. Maintenance of Effort: .....	31
D. Application and Submission Information.....	31
1. Required Registrations: .....	31
2. Request Application Package: .....	32
3. Application Package .....	32
4. Submission Dates and Times:.....	32
5. CDC Assurances and Certifications:.....	33
6. Content and Form of Application Submission:.....	33
7. Letter of Intent (LOI): .....	33
8. Table of Contents: .....	33
9. Project Abstract Summary: .....	33
10. Project Narrative: .....	33
11. Work Plan: .....	35
12. Budget Narrative: .....	35
13. Tobacco and Nutrition Policies:.....	36
14. Intergovernmental Review:.....	37
15. Funding Restrictions:.....	37
16. Other Submission Requirements: .....	45
E. Application Review Information .....	47
1. Review and Selection Process: .....	47
a. Phase I Review:.....	47
b. Phase II Review:.....	47
c. Phase III Review:.....	47
2. Anticipated Announcement and Award Dates:.....	47
F. Award Administration Information.....	48
1. Award Notices: .....	48
2. Administrative and National Policy Requirements: .....	48
3. Reporting:.....	49
a. CDC Reporting Requirements: .....	49
b. Specific Reporting Requirements:.....	49
i. Awardee Evaluation and Performance Measurement Plan: .....	49

ii.	Annual Performance Report: .....	50
iii.	Performance Measure Reporting: .....	51
iv.	Monitoring Reporting and Evaluation: .....	51
v.	Federal Financial Reporting: .....	51
vi.	Final Performance and Financial Report:.....	51
4.	Federal Funding Accountability and Transparency Act of 2006:.....	52
5.	Programmatic Impact Reporting and Monitoring:.....	52
6.	Monitoring and Evaluation:.....	53
7.	Expenditure Analysis .....	53
8.	Audit, Books, and Records Clause: .....	53
9.	Reporting of Foreign Taxes.....	55
10.	Human Subjects Restrictions:.....	56
G.	Agency Contacts.....	56
H.	Other Information.....	57
I.	Glossary.....	58

## Part I. Overview Information

Applicants must go to the synopsis page of this announcement at [www.grants.gov](http://www.grants.gov) and click on the “Send Me Change Notifications Emails” link to ensure they receive notifications of any changes to CDC-RFA-GH15-1584. Applicants also must provide an e-mail address to [www.grants.gov](http://www.grants.gov) to receive notifications of changes.

### A. Federal Agency Name

Centers for Disease Control and Prevention

### B. Funding Opportunity Title

Support for Health System Strengthening of Leadership, Governance and Quality Improvement in the Ministry of Health (MOH) in the Kingdom of Swaziland under the President’s Emergency Plan for AIDS Relief (PEPFAR)

### C. Announcement Type:

New-Type 1

This announcement is only for non-research international activities supported by CDC. If research is proposed, the application will not be considered. Research for this purpose is defined at:

<http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>.

### D. Agency Funding Opportunity Number

CDC-RFA-GH15-1584

### E. Catalog of Federal Domestic Assistance Number

93.067 Global AIDS program

### F. Dates

1. Letter of Intent Deadline Date: N/A

Application Deadline Date: December 30, 2014, 11:59 p.m. U.S. Eastern Standard Time, on [www.grants.gov](http://www.grants.gov)

Informational conference call or pre-application workshop if held in person for potential applicants: N/A

### G. Executive Summary

#### 1. Summary Paragraph

The purpose of this funding opportunity announcement (FOA) in Swaziland is to develop and continuously improve, over the next five years, the efficiencies of health systems at the national, regional, facility and community level. Through this cooperative agreement with the Swaziland Ministry of Health, planned activities are to: develop leadership and governance capacity in the Ministry of Health (MOH) by defining roles, responsibilities and key processes for individuals and departments at national, regional and facility level; establish the quality improvement model and quality assurance systems in public and mission health care facilities in Swaziland under the MOH Quality Management Program; sensitize the Ministry of Health workforce on International Organization for Standardization (ISO) 9001 requirements and achieve certification in four hospitals in Swaziland (one per region); develop a criteria and process for accreditation of Health Services in Swaziland; develop a regional support base for ISO systems and to improve Regional Health Management Team (RHMT) function and effectiveness to deliver Primary Health Care by building capacity of RHMT members to work within an internationally recognized quality management framework; and bring five health centers up to 90% compliance with Essential Health Care Package (EHCP) requirements by providing 90% of the services

identified in the Essential Health Care Package.

The major Project Outcome is that ISO Management systems are institutionalized and sustained by the MOH/Government of the Kingdom of Swaziland (GKOS) leading to an annual improvement in institutionalized quality of care indicators (e.g. facility targets and objectives improve by at least 10% per annum from baseline, customer satisfaction improve by at least 10% per annum from baseline).

**a. Eligible Applicants:** Single Eligibility

**b. FOA Type:** Cooperative Agreement

**c. Approximate Number of Awards:** 1

**d. Total Project Period Funding:** None

**e. Average One Year Award Amount:** \$1,200,000.00

**f. Number of Years of Award:** 5 Years

**g. Approximate Date When Awards will be Announced:** February 2015

**h. Cost Sharing and /or Matching Requirement:** N/A

## Part II. Full Text

### A. Funding Opportunity Description

#### 1. Background:

There has been rapid expansion of HIV and TB related services across the country. There is a need to build up the quality of the services especially as the Government of the Kingdom of Swaziland (GKOS) proceeds with its policy of decentralization of health care. The rapid scale up of services has required a great deal of support from development partners and has often involved short term contract workers who are not part of the MOH complement. The focus has been on service availability. The quality aspects have not been adequately addressed. Initiatives need to be implemented that will help with sustainability to ensure that increased access to high quality services is maintained.

A 2010 Primary Health Care review commissioned by the MOH noted that a number of major health indicators had deteriorated over the last decade (Infant Mortality Rate increased from 78 to 107; Child Mortality Rate increased from 106 to 167; Maternal Mortality Ratio increased from 229 to 589; Crude Death Rate from increased from 7.6 to 18; Life Expectancy at birth dropped from 60 to 43). To address these issues, the report strongly recommended that the gaps identified in management experience and management systems be addressed. The ability of the health sector to respond in a sustainable manner is affected by limited financial and human resources. Aggravating the situation is limited management capacity and experience, weak management systems, and insufficient accountability and controls measures.

The planned response is a program on Leadership and Governance directed at national and regional management structures, as well as the development of quality management systems in the larger health facilities, and within the RHMTs. It is expected that clarification of roles and responsibilities and institutionalization of quality management procedures will lead to improvements in the quality and efficiency of Health Services. It is within the mandate of the MOH to act to improve these structures and systems related to health services. Components of the response will be led by specific members of the MOH senior management team (clinical, public health, nursing and administration). They will also provide the link to any government bodies (Medical and Dental Council, Nursing Council) and initiate any legislation that may be required to support and entrench the management systems.

Specific requests have been received from the MOH for: support in the development of Leadership and Governance expanding EHCP implementation and support for improving service quality in the health centers and hospitals.

Swaziland national data sources informing the background:

Approach is in line with:

- Swaziland QA Strategic Plan
- National Health Sector Strategic Plan
- National Health Policy
- Primary Health Care Review 2010
- Decentralization Guidelines (1990) and Policy (2005)
- SZNS ISO 9001:2008 (Quality Management Systems)
- SZNS 008:2012 (General Hospital and Health Center Requirements)
- WHO guidelines on Leadership and Governance

PEPFAR data sources informing the background:

- PEPFAR Capacity Building and Strengthening Framework
- PEPFAR Quality Strategy

This funding opportunity announcement (FOA) builds on past and current CDC program activities, including:

- A strong initiative to introduce quality in the laboratories (SLMTA);
- The Quality Management (QM) Program has also been reorganized and it is actively training staff in facilities to identify and implement QI Projects;
- Implementation of a pilot ISO management project at one of the regional hospitals;
- Country has a goal of implementing ISO management systems in regional hospitals and in health centers; and
- There is ongoing work to development and implement standards for health facilities.

The goal of this cooperative agreement with the Swaziland Ministry of Health is to establish a structured quality improvement process that is owned, led, and allocated sufficient funds by the MOH.

#### **a. Statutory Authorities**

This program is authorized under Public Law 108-25 (the United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003) [22 U.S.C. 7601, et seq.] and Public Law 110-293 (the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008), and Public Law 113-56 (PEPFAR Stewardship and Oversight Act of 2013).

The President's Emergency Plan for AIDS Relief (PEPFAR) has called for immediate, comprehensive and evidence based action to turn the tide of global HIV/AIDS. The overarching purpose of this FOA is to fund activities to prevent or control disease or injury and improve health, or to improve a public health program or service. Recipients may not use funds for research. Certain activities that may require human subjects review due to institutional requirements but that are generally considered not to constitute research (e.g., formative assessments, surveys, disease surveillance, program monitoring and evaluation, field evaluation of diagnostic tests, etc.) may be funded through this mechanism.

**b. Healthy People 2020:**

Healthy People 2020 provides national health objectives for improving the health of all persons by encouraging collaborations across sectors, guiding individuals toward making informed health decisions, and measuring the impact of prevention activities. Additional information on Healthy People 2020 is available at <http://www.healthypeople.gov>.

**c. PEPFAR Priorities and Strategies**

Under the leadership of the U.S. Global AIDS Coordinator, as part of the President's Emergency Plan, the U.S. Department of Health and Human Services' Centers for Disease Control and Prevention (HHS/CDC) works with host countries and other key partners to assess the needs of each country and design a customized program of assistance that fits within the host nation's strategic plan and partnership framework.

HHS/CDC focuses primarily on two or three major program areas in each country. Goals and priorities include the following:

- Achieving primary prevention of HIV infection through activities such as expanding confidential counseling and testing programs linked with evidence based behavioral change and building programs to reduce mother-to-child transmission;
- Improving the care and treatment of HIV/AIDS, sexually transmitted infections (STIs) and related opportunistic infections by improving STI management; enhancing laboratory diagnostic capacity and the care and treatment of opportunistic infections; interventions for intercurrent diseases impacting HIV infected patients including tuberculosis (TB); and initiating programs to provide anti-retroviral therapy (ART);
- Strengthening the capacity of countries to collect and use surveillance data and manage national HIV/AIDS programs by expanding HIV/STI/TB surveillance programs and strengthening laboratory support for surveillance, diagnosis, treatment, disease monitoring and HIV screening for blood safety; and
- Developing, validating and/or evaluating public health programs to inform, improve and target appropriate interventions, as related to the prevention, care and treatment of HIV/AIDS, TB and opportunistic infections.

In an effort to ensure maximum cost efficiencies and program effectiveness, HHS/CDC also supports coordination with and among partners and integration of activities that promote Global Health Initiative principles. As such, grantees may be requested to participate in programmatic activities that include the following activities:

- Implement a woman- and girl-centered approach;
- Increase impact through strategic coordination and integration;
- Strengthen and leverage key multilateral organizations, global health partnerships and private sector engagement;
- Encourage country ownership and invest in country-led plans;
- Build sustainability through investments in health systems;
- Improve metrics, monitoring and evaluation; and
- Promote research, development and innovation (research is not supported by this FOA).

This announcement is only for non-research activities supported by CDC. If research is proposed, the application will not be reviewed. For the definition of research, please see the CDC Web site at the following Internet address: <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

<b>d. Other National Public Health Priorities and Strategies:</b>
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N/A
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<b>e. Relevant Work:</b>
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N/A
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## 2. CDC Project Description

### a. Approach:

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
<b>Objective 1: To increase leadership awareness and governance capacity in all senior staff within the MOH by 2017 and then sustain process thereafter.</b>				
Work with other partners to define roles and responsibilities of key organizational structures (departments, units) and the senior personnel working within them at national, regional, and facility level starting with existing Terms of Reference	<p>All key roles and responsibilities defined at national, regional and facility level by respective heads of departments (HOD), and individuals sensitized to them in the context of the organogram</p> <p>MOH strategic documents (including HSSP; quality standards for hospitals, health centers, clinics) developed and implemented with progress against agreed national priority health indicators as per midterm and end of term HSSP reviews</p>	<p><b>Increased clarity among MOH staff regarding of key roles and responsibilities of respective HODs and individuals holding leadership positions at national and regional levels</b></p> <p><b>Increased active role of MOH leadership in monitoring and evaluating implementation MOH strategic documents</b></p>	<p><b>Improved accountability and performance of HODs at national and regional levels</b></p> <p><b>Increase in use of findings of M&amp;E of strategic plan to improve MOH programming</b></p>	<p><b>Increased capacity of MOH staff to lead and govern, including setting priorities, developing and managing strategies, responding to successes and challenges in implementation of plans, and defining roles and responsibilities of key units</b></p>
Define all key processes within each department (Process led by Heads of Departments)	Key processes defined at national, regional and facility level	<b>Increased clarity to all senior staff of key processes at all levels</b>	<p><b>Improved understanding of senior MOH staff of priorities, key system requirements, managerial gaps and opportunities</b></p>	
Select and define priority health indicators	Priority health indicators selected and defined	<b>Increased clarity to all senior staff of key program priorities at all levels</b>		
Hold ISO national management reviews at MOH directorate level (Accountability measures)	Regular annual national management reviews that review the progress of regional	<b>Increased oversight of management issues affecting the attainment of</b>		

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
	and facility ISO implementation	<b>set targets and objectives</b>		
Capacitate MOH Minister's office on Organizational Management, systems development	Completed capacity building on Organizational Management for MOH Minister's office	<b>Increased understanding of Minister's office on Organizational Management and systems development</b>		
Hold regular management review/capacity building meetings for Public Health Program Managers, Clinical Area Leadership, RHMT leadership	Develop terms of reference, standing agenda, and minute taking responsibilities and implement these meetings (monthly Public Health, monthly clinical, and quarterly RHMT)	<b>Increased attention, identification and resolution of management actions by Public Health Program Managers, Clinical Area Leadership, and RHMT leadership</b>		
Hire expert consultant to work with QM program and other stakeholders (e.g., CDC-Swaziland office) to develop process to, maintain, harmonize, and monitor implementation of strategic documents.	List of strategic documents (HSSP, PHC Strategy, Infrastructure maintenance plan, Essential Health Care Package, Standard Treatment Guidelines, etc.) established  Documents developed, maintained, harmonized, and monitored	<b>Increased ability to locate and track implementation of strategic documents</b>	<b>Improved capacity to monitor implementation of strategic documents</b>	
<b>Objective 2: To establish quality improvement projects in 80% of the public and mission health care facilities in Swaziland by 2019 and then sustain process thereafter under the MOH Quality Management program.</b>				
Fund and organize Regional and National Annual Quality Management Forums to share best practices and recognize achievement in collaboration with CDC-Swaziland, HEALTHQUAL and other stakeholders	Dissemination of best practice initiatives.	<b>Improved staff motivation to implement QI projects.</b>  <b>Elevated profile of the Quality Management program nationally</b>	<b>Improved attention of national and regional authorities towards quality management priorities</b>	<b>Improved institutionalization of sustained quality improvement models into the public and mission health care facilities in Swaziland</b>

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
Update national Quality Improvement training Manual to include training on use of different trend analysis tools and project write up techniques.	Updated national quality improvement training manual	<b>Improved analysis and write up of QI projects</b>	<b>Improved capacity of health personnel in planning, implementation and monitoring of QI projects</b>	
Train health care workers (HCW)s in hospitals, health centers & other relevant stakeholders on Quality Improvement Concept and Methodology based on the updated national QI manual	Tripartite teams in all hospitals and health centers trained on QI methodologies Established functional Quality Management Committees in all hospitals and health centers	<b>HCWs have increased knowledge of QI concepts and methodologies</b>		
Initiate QI projects in facilities, in conjunction with support from other development partners	At least one QI project initiated and documented at 40 facilities, with an additional 40 facilities implementing the model each year	<b>Improved capacity of health facilities in design and implementation of QI projects</b>		
Update the QI/QA databases to monitor implementation and progress of QI projects and closeout QA issues	QI/QA database updated and data accessible for national and regional level analyses	<b>Improved tracking and reporting of QI activities and timely closeout of QA issues.</b>		
Advocate with pre-service health training institutions to include training on quality improvement and quality assurance in their curricula	Develop QA/QI modules for inclusion in pre-service curricula for health services	<b>Increased availability of QA/QI modules to health training institutions for inclusion in pre-service curricula for health services</b>		
<b>Objective 3: To capacitate the National Quality Management program to establish quality assurance systems in 40 additional health care facilities in Swaziland annually and sustain QM programs that were established in prior years.</b>				
Develop a plan and build capacity to enable the Quality Management program to conduct assurance at all health care facilities	Strategic direction document that defines objectives and timelines for QA activities, including ISO agenda, development	<b>Increased skills within the national QM Program in providing quality assurance services</b>	<b>Increased number of regular annual internal audits, external audits, and customer satisfaction surveys at</b>	<b>Improved institutionalization of quality assurance systems in the public and mission hospitals</b>

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
	Capacity development of national QM staff on QA activities		each hospital and health center with results presented at the annual management reviews held at regional and national levels	and health centers in Swaziland
Develop and use QA tools for hospitals and health centers (e.g., checklists for internal audits, customer satisfaction surveys)	QA tools (e.g., checklists for internal audits, customer satisfaction surveys) developed	<b>Increased availability of QA tools to conduct assessments in health facilities</b>	<b>Improved use of QA tools by health personnel</b>	
Identify and develop quality standards within health facilities including public and mission hospitals, health centers and clinics	Standards identified and developed	<b>Increased availability of standards to guide the quality of service delivery in health facilities</b>		
Disseminate and assure implementation of required quality standards within health facilities including public and mission hospitals, health centers and clinics	Quality standards disseminated and implemented at all health facilities	<b>Increased availability of quality standards for reference</b>		
Establish a system by which the MOH (in conjunction with development partners) will provide health care worker-to-health care worker guidance on an ongoing basis to improve services over time in facilities	Completed document describing the system (include competencies required of supervisors and mentors)	<b>Improved implementation of HCW to HCW mentoring by al RHMTs and development partners</b>	<b>Improved MOH led capacity for supervision and mentoring, through which identified health care workers provide regular support to other health care workers within facilities</b>	
	Review health care worker to health care worker guidance and introduction of any required improvements			
	Identify individuals to provide			

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
	the HCW to HCW support			
<b>Objective 4: To sensitize all senior staff and HODs within the Ministry of Health workforce on ISO 9001 requirements and achieve certification in four hospitals in Swaziland (one per region) by 2019.</b>				
Identify an ISO support consultant/organization (To consider local quality authority accredited body)	TOR for ISO support consultant completed  ISO support consultant hired	<b>Increased availability of TA to provide ISO implementation support</b>	<b>Increased number of hospitals attaining ISO certificate in Swaziland</b>	<b>Improved institutionalization of ISO certification in the public and mission hospitals and health centers in Swaziland</b>
Provide training to sensitize leadership on the requirements for ISO certification and motivate them to attain it	MOH senior staff trained on ISO certification requirements  Hospital management in all hospitals and health centers trained on ISO certification requirements	<b>Increased knowledge of senior staff trained on ISO certification requirements</b>		
Conduct benchmarking visit with MOH senior staff and HODs to an accredited hospital in the region	Completed benchmarking visit to an accredited regional hospital (preferably ISO 9001 accreditation)	<b>Increased motivation among MOH senior staff to implement quality management systems</b>		
Select three hospitals to be certified (one in Manzini, Hhohho and Shiselweni) and launch the certification initiative by the MOH at each facility	Launch of ISO management process within each facility	Improved knowledge of health personnel in the selected facilities on ISO certification processes and requirements		
Launch of the certification initiative at Lubombo Regional Hospital	Launch of ISO management process at Lubombo Regional Hospital			
Identify or hire (secondment) ISO Certification/Systems Development Officer for each facility	TOR for ISO officers completed  ISO officers hired within 1st year			
Train ISO officers in ISO systems development and on internal auditing	ISO officers certified to develop and audit ISO management systems			

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
Establish a document control office at each facility undergoing certification	Established ISO office at each facility undergoing certification  Document control procedures and ISO Manual developed			
Develop an ISO Certification/Management system at each facility undergoing certification hospitals	ISO Certification system developed at each facility undergoing certification hospitals			
Work with the health facilities to absorb ISO Officer scope of work by facility staff	ISO Officer scope of work is absorbed by facility staff	<b>Increased capacity of health facilities in ISO Officer</b>	<b>Increased sustainability of ISO system implementation by health facilities</b>	
<b>Objective 5: To establish a process and criteria for Health Services Accreditation by 2016 and begin assessments for facility accreditation by 2018.</b>				
Facilitate establishment of Accreditation Criteria in Swaziland for Health Services (in conjunction with World Bank)	Develop Accreditation Criteria in Swaziland for Health Services	<b>Increased knowledge of health personnel on health facilities' accreditation processes and requirements</b>	<b>Increased capacity of MOH to implement an accreditation system</b>	<b>Improved institutionalization of accreditation system of health facilities in Swaziland</b>
Identify accreditation body	Accreditation body identified			
Develop a process for, and implement, the accreditation system	Accreditation process defined			
<b>Objective 6: To develop regional support base for ISO systems and improve RHMT function and effectiveness to address 100% of non-conformances raised at quarterly meetings by 2017 and then sustain process thereafter.</b>				
Build capacity of RHMT members to support ISO 9001 systems at the one hospital implementing ISO certification within their region	Training of RHMT staff on ISO systems and quality assurance activities	<b>Increased knowledge and understanding of ISO systems by RHMT</b>	<b>Improved capacity of RHMTs to support ISO system development within hospitals participating in certification process</b>	<b>Strengthened capacity of RHMTs in provision of effective support in implementation and maintenance of ISO management systems</b>
Hire a consultant to improve	Development of TOR and	<b>Increased clarity of</b>	<b>Improved fidelity of</b>	

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
functionality and effectiveness of the RHMT by identifying required organizational structures within the regions which the RHMT functions (e.g. those mentioned in 1990 MOH Guidelines for the Operation of Decentralized Health Services — the RHAC, RHMT, Planning and Budgeting Committee, Personnel and Training Subcommittee, Information Subcommittee) and developing a strategy implementation of those structures	<p>selection of consultant</p> <p>Defined membership, roles and, responsibilities of regional organizational structures</p> <p>Developed strategy to operationalize them</p>	<b>membership, roles and, responsibilities of regional organizational structures</b>	<b>regional and national supporting structures to the strategy to enhance functionality and effectiveness of RHMTs</b>	<b>and fulfilling health facilities’ compliances with regional targets and plans</b>
Build capacity of RHMTs and all related committees based on updated membership, roles and responsibilities	Capacity building plan developed, individualized for each region (including training on prioritization, HR, record keeping)	<b>Increased knowledge of RHMTs on prioritization processes, HR management, record keeping and development of annual work plans as guided by EHCP principles in the regions</b>	<b>Improved capacity of RHMTs in planning, budgeting, advocacy, implementation and monitoring of regional work plans and responding to gaps identified in PHC approach</b>	
Facilitate the development of the RHMT work plans	<p>Training on work plan development and prioritization mechanisms</p> <p>Annual work plans produced</p>			
Strengthen the PHC strategy to deliver the EHCP in the regions, particularly in the PHUs and clinics	Completed assessment of gaps in PHC approach to delivering EHCP and develop plan to respond to them (e.g., equipment, infrastructure, supervision, etc.)			
Hire expert consultant to develop a document	Document site identified and equipment provided	<b>Increased availability of key documents within the</b>	<b>Improved access of the key senior staff to</b>	

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
management system	Documentation system developed and implemented	management system	required management documents	
Establish national site monitoring system for quality assurance at health facilities within QM program	Annual visits to every facility within the region using national site monitoring quality assurance tool  Regional Quality Assurance reports compiled quarterly	<b>Increased awareness of performance and quality trends by management teams at national , regional and facility level</b>	<b>Improved utilization of national site monitoring outputs for quality assurance and changes in programming, policy and budgets, including prioritization of partner support</b>	
Review of QA reports and progress towards achieving national health indicators at regular performance review meetings at facility, regional, and national level	Monthly facility performance review meetings established within 80% of facilities  Quarterly regional performance review meetings established within all 4 regions			
Establish monthly Performance Review Meetings at facilities				
Establish quarterly Regional Performance Reviews Meetings	Annual national performance review meetings established			
Establish annual national Performance Review Meetings				
Mitigate issues (e.g., minor infrastructure repairs) identified through SMS and ISO development processes that could stop progress towards quality improvement	Identify issues requiring mitigation, prioritize and fix them according to available budget	<b>Increased number of issues identified through SMS and ISO development processes that are addressed to improve quality</b>	<b>Improved quality through mitigating issues identified through SMS and ISO development processes that could stop progress towards quality improvement</b>	
<b>Objective 7: To bring health centers up to 90% compliance with Essential Health Care Package requirements by 2019.</b>				
Improve Health Centers to Model Center	Assessment of gap in service provisions to EHCP at 5 health	<b>Increased insight of 5 health facilities' personnel</b>	<b>Increased compliance with Essential Health</b>	<b>Improved capacity of Health Centers in</b>

<u>Activities</u>	<u>Outputs</u>	<u>Outcomes</u>		
		<u>Short Term Outcomes (1-2 Years)</u>	<u>Intermediate Outcomes (3-4 Years)</u>	<u>Long Term Outcomes (5+ Years)</u>
	centers  Development of implementation plan to fill gaps to reach 90% compliance with EHCP requirements	<b>of the gaps and plans to reach compliance with EHCP requirements in their health facilities</b>	<b>Care Package requirements in 5 Health Centers</b>	<b>provision of full Essential Health Care Package</b>

**i. Problem Statement:**

Management capacity and management systems have not been developed within the MOH. This lack of systems and management capacity has been identified at all the various management levels of the MOH including at the point of service delivery. Several factors have contributed to this problem. These include: appointment of inexperienced managers, lack of defined roles and responsibilities of individuals and the organization units in which they work, poorly developed documentation and management systems, poor follow-up and accountability measures, and poor quality improvement cycles.

As a consequence, the quality of the services received as the service levels are expanded are not consistent and often do not meet the required standards. This issue is particularly relevant to HIV and TB services, which have decentralized very rapidly over the last few years. Furthermore lack of clarity on roles and responsibilities affects follow up and sustainability of activities because there is often no identified individual to advocate and promote activities or who is recognized as accountable for resolution of identified issues. Over the last couple of years there has been some effort to introduce leadership and governance concepts as well as quality improvement methods through Leadership and Governance Training sessions and the development of a QM program. The Swaziland Health Laboratory Services is also actively working on a Quality Management System for the laboratories in the country which provides a model for the rest of the health system. There is a need to implement some of the theoretical training that has been received and develop robust management systems that will improve the quality of service delivery across the country.

**ii. Purpose**

The purpose of this FOA is to strengthen health systems at the national, regional, facility and community level, by:

- clarifying management structures and functions, and developing management systems using internationally recognized standards
- improving the standard of management
- improving leadership awareness and capacity
- improving governance and accountability within the health sector

with the overall goal of improving the quality of health care and services in the GKOS, demonstrated by improved performance in national health Indicators.

The program goal and objectives relevant to this FOA in Swaziland are to:

- **Objective 1:** To increase leadership awareness and governance capacity in all senior staff within the MOH by 2017.
- **Objective 2:** To establish quality improvement projects in 90% of the 162 public and mission health care facilities in Swaziland by 2019.
- **Objective 3:** To capacitate the National Quality Management program to establish quality assurance systems in 40 health care facilities in Swaziland annually.
- **Objective 4:** To sensitize all senior staff and HODs within the Ministry of Health workforce on ISO 9001 requirements and achieve certification in four hospitals in Swaziland (one per region) by 2019.
- **Objective 5:** To establish a process and criteria for Health Services Accreditation by 2016 and begin facility assessments for accreditation by 2018.
- **Objective 6:** To develop a regional support base for ISO systems and improve RHMT function and effectiveness to address 100% of non-conformances identified at quarterly

meetings by 2017.

- **Objective 7:** To bring health centers up to 90% compliance with Essential Health Care Package requirements by 2019.

### iii. Outcomes

The major project outcomes that the awardee is expected to achieve by the end of the project period are as follows (the applicant is allowed to propose additional related project outcomes):

**Objective 1:** To increase develop leadership awareness and governance capacity in all senior staff within the MOH by 2017 and then sustain process thereafter.

- Increased clarity among MOH staff regarding of key roles and responsibilities of respective HODs and individuals holding leadership positions at national and regional levels
- Increased active role of MOH leadership in monitoring and evaluating implementation MOH strategic documents
- Improved accountability and performance of HODs at national and regional levels
- Increase in use of findings of M&E of strategic plan to improve MOH programming
- Increased capacity of MOH staff to lead and govern, including setting priorities, developing and managing strategies, responding to successes and challenges in implementation of plans, and defining roles and responsibilities of key units
- Increased clarity to all senior staff of key processes at all levels
- Improved understanding of senior MOH staff of priorities, key system requirements, managerial gaps and opportunities
- Increased clarity to all senior staff of key program priorities at all levels
- Increased oversight of management issues affecting the attainment of set targets and objectives
- Increased understanding of Minister's office on Organizational Management and systems development
- Increased attention, identification and resolution of management actions by Public Health Program Managers, Clinical Area Leadership, and RHMT leadership
- Increased ability to locate and track implementation of strategic documents
- Improved capacity to monitor implementation of strategic documents

**Objective 2:** To establish quality improvement projects in 80% of models in the public and mission health care facilities in Swaziland by 2019 and then sustain process thereafter under the MOH Quality Management program.

- Improved staff motivation to implement QI projects
- Elevated profile of the Quality Management program nationally
- Improved attention of national and regional authorities towards quality management priorities
- Improved analysis and write up of QI projects
- Improved capacity of health personnel in planning, implementation and monitoring of QI projects
- HCWs have increased knowledge of QI concepts and methodologies
- Improved capacity of health facilities in design and implementation of QI projects
- Improved tracking and reporting of QI activities and timely closeout of QA issues
- Increased availability of QA/QI modules to health training institutions for inclusion in pre-service curricula for health services
- Increased content about quality management in pre-service curriculum
- Improved institutionalization of sustained quality improvement models into the public and mission health care facilities in Swaziland

**Objective 3:** To capacitate the National Quality Management program to establish quality assurance systems in 40 the public and mission health care facilities in Swaziland annually under the MOH Quality Management program and sustain QM programs that were established in prior years.

- Increased skills within the national QM Program in providing quality assurance services
- Increased number of regular annual internal audits, external audits, and customer satisfaction surveys at each hospital and health center with results presented at the annual management reviews held at regional and national levels
- Improved institutionalization of quality assurance systems into 80% of the public and mission hospitals and health centers in Swaziland
- An established MOH led support system in place, through which identified health care workers provide regular support to other health care worker within facilities
- Increased availability of QA tools to conduct assessments in health facilities
- Improved use of QIA tools by health personnel
- Increased availability of standards to guide the quality of service delivery in health facilities.
- Increased availability of quality standards for reference
- Improved implementation of HCW to HCW mentoring by all RHMTs and development partners implementing the system
- Improved MOH led supporting capacity for supervision and mentoring, through which identified health care workers provide regular support to other health care workers within facilities

**Objective 4:** To sensitize all senior staff and HODs within the Ministry of Health workforce on ISO 9001 requirements and achieve certification in four hospitals in Swaziland (one per/region) by 2019.

- Increased availability of TA to provide ISO implementation support
- Increased number of hospitals attaining ISO certificate in Swaziland
- Increased motivation among MOH senior staff to implement quality management systems
- Improved institutionalization of ISO certification in the public and mission hospitals and health centers in Swaziland
- Improved knowledge of health personnel in the selected facilities on ISO certification processes and requirements
- Increased capacity of health facilities in ISO administration
- Increased sustainability of ISO system implementation by health facilities

**Objective 5:** To establish a process and criteria for Health Services Accreditation by 2016 and begin assessments for facility accreditation by 2018.

- Increased knowledge of health personnel on health facilities' accreditation processes and requirements
- Increased capacity of MOH to implement an accreditation system
- Improved institutionalization of accreditation system of health facilities in Swaziland

**Objective 6:** To develop regional support base for ISO systems and improve RHMT function and effectiveness to address 100% of non-conformances raised at quarterly meetings by 2017 and then sustain process thereafter.

- Increased knowledge and understanding of ISO systems by RHMT.
- Improved capacity of RHMTs to support ISO system development within hospitals participating in certification process

- Increased clarity of membership, roles and, responsibilities of regional organizational structures
- Improved fidelity of regional and national supporting structures to the strategy to enhance functionality and effectiveness of RHMTs
- Increased knowledge of RHMTs on prioritization processes, HR management, record keeping and development of annual work plans as guided by EHCP principles in the regions
- Improved capacity of RHMTs in planning, budgeting, advocacy, implementation and monitoring of regional work plans and responding to gaps identified in PHC approach
- Increased availability of key documents within the management system
- Improved access of the key senior staff to required management documents
- Increased awareness of performance and quality trends by management teams at national , regional and facility level
- Improved utilization of national site monitoring outputs for quality assurance and changes in programming, policy and budgets, including prioritization of partner support
- Increased number of issues identified through SMS and ISO development processes that are addressed to improve quality.
- Improved quality through mitigating issues identified through SMS and ISO development processes that could stop progress towards quality improvement.
- Strengthened capacity of RHMTs in provision of effective support in implementation and maintenance of ISO management systems and fulfilling health facilities' compliances with regional targets and plans

**Objective 7:** To bring health centers up to 90% compliance with Essential Health Care Package requirements by 2019.

- Increased insight of 5 health facilities' personnel of the gaps and plans to reach compliance with EHCP requirements in their health facilities
- Increased Compliance with Essential Health Care Package requirements in 5 Health Centers.
- Improved capacity of Health Centers to provide services required in the Essential Health Care Package

#### iv. Funding Strategy

N/A

#### v. Strategies and Activities

**Objective 1:** To increase leadership awareness and governance capacity in all senior staff within the MOH by 2017 and then sustain process thereafter. Activities:

- Define roles and responsibilities of personnel and organizational units at national, regional and facility level together with other partners (MOPS, World Bank) working in this area
- Define key processes within each department (Process led by heads of departments)
- Select and define priority health indicators
- Hold ISO Management reviews (Accountability measures) and utilize the forum to recognize achievement
- Capacitate the MOH Minister's office on Organizational Management and systems development
- Hold regular monitoring and evaluation review meetings for Public Health Programs, Clinical Area Leadership and RHMTs
- Hire expert consultant to work with QM program and other stakeholders (e.g. CDC-Swaziland office) to develop process to, maintain, harmonize, and monitor implementation of strategic documents

**Objective 2:** To establish quality improvement projects in 80% of the public and mission health care facilities in Swaziland by 2019 and then sustain process thereafter. Activities:

- Fund and organize Regional and National Annual Quality Management Forums to share best practices and recognize achievement in collaboration with CDC-Swaziland, HEALTHQUAL and other stakeholders
- Update national Quality Improvement training Manual to include training on use of different trend analysis tools and project write up techniques
- Train HCW in hospitals, Health centers & other relevant stakeholders on Quality Improvement Concept and Methodology based on the updated national QI manual
- Initiate QI projects in facilities, in conjunction with support from other development partners
- Update the QI/QA databases to monitor implementation and progress of QI projects and closeout QA issues
- Advocate with pre-service health training institutions to include training on quality improvement and quality assurance in their curricula

**Objective 3:** To capacitate the National Quality Management program to establish quality assurance systems in 40 additional health care facilities in Swaziland annually and sustain QM programs that were established in prior years. Activities:

- Develop a plan and build capacity to enable the Quality Management program to conduct assurance at all health care facilities
- Develop and use QA tools for hospitals and health centers (e.g., checklists for internal audits, customer satisfaction surveys)
- Identify and develop quality standards for health facilities including hospitals, health centers and clinics
- Disseminate and assure implementation of required quality standards within health facilities including public and mission hospitals, health centers and clinics
- Establish a system through which the MOH (in conjunction with development partners) will provide healthcare worker to health care worker guidance on an ongoing basis to improve services over time in facilities

**Objective 4:** To sensitize all senior staff and HODs within the Ministry of Health workforce on ISO 9001 requirements and achieve certification in four hospitals in Swaziland (one per region) by 2019. Activities:

- Identify an ISO support consultant /organization. (To consider local quality authority accredited body)
- Training to sensitize leadership on the requirements for ISO certification and motivate them to attain it
- Conduct benchmarking visit with MOH senior staff and HODs to an accredited hospital in the region
- Select three hospitals to be certified and launch the certification initiative by the MOH at each facility
- Launch the certification initiative at Lubombo Regional Hospital
- Hire or identify ISO Certification/System Development Officer for each facility
- ISO System Certification/Development Officer trained in ISO 9001:2008 system development and internal auditing
- Establish a document control office at each facility undergoing certification
- Develop an ISO 9001:2008 Certification/Management system at each facility undergoing certification

- Work with the health facilities to absorb ISO System Development Officer scope of work by permanent health facility staff

**Objective 5:** To establish a process and criteria for Health Services Accreditation by 2016 and begin assessments for facility accreditation by 2018. Activities:

- Develop Accreditation Criteria for Health Services in Swaziland
- Facilitate establishment of Accreditation Criteria in Swaziland for Health Services (in conjunction with World Bank)
- Identify accreditation body
- Develop a process for the implementation of the accreditation system

**Objective 6:** To develop regional support base for ISO systems and improve RHMT function and effectiveness to address 100% of non-conformances raised at quarterly meetings by 2017 and then sustain process thereafter. Activities:

- Build capacity of RHMT members to support ISO 9001 systems at the one hospital implementing ISO certification within their region
- Hire a consultant to improve functionality and effectiveness of the RHMT by identifying required organizational structures within the regions which the RHMT functions (e.g. those mentioned in 1990 MOH Guidelines for the Operation of Decentralized Health Services — the RHAC, RHMT, Planning and Budgeting Committee, Personnel and Training Sub-committee, Information Sub-committee) and to develop a strategy for implementation
- Build capacity of RHMTs and all related committees based on updated membership, roles and responsibilities
- Facilitate the development of the RHMT work plans
- Strengthen the PHC strategy to deliver EHCP at PHC facilities
- Hire expert consultant to develop a document management system
- Establish national site monitoring system for quality assurance at health facilities within QM program
- Establish monthly Performance Review Meetings within facilities
- Establish quarterly Regional Performance Review Meetings
- Establish annual National Performance Review Meetings
- Review of QA reports and progress towards achieving national health indicators at regular performance review meetings at facility, regional, and national level
- Mitigate issues (e.g., minor infrastructure repairs) identified through SMS and ISO development processes that could stop progress towards quality improvement and ISO certification

**Objective 7:** To bring health centers up to 90% compliance with Essential Health Care Package requirements by 2019. Activities:

- Improve Health Centers to Model Center providing 90% of the services identified in the Essential Health Care Package

**1. Collaborations:** Left blank intentionally

**a. With CDC funded programs:**

The Partner is expected to collaborate with:

- The CDC leads and programs in HIV Testing, Care and Treatment; tuberculosis, laboratory; health systems strengthening/quality management; research/epidemiology; and infrastructure/renovation to ensure efficient use of CDC resources.
- The lead CDC partner for TB + Manzini region (TBD) to strengthen and implement

national TB and TB/HIV strategies and policies.

- The lead CDC partner for TB + Lubombo region (TBD) to strengthen and implement national TB and TB/HIV strategies and policies.
- The lead CDC (Community Initiated HIV Testing and Counseling (CIHTC) partner (currently PSI) to ensure CIHTC complements PIHTC and that together, the two activities scale up HTC to benefit all categories of individuals in the region, and that people tested at the community level are successfully linked to care.
- The lead CDC lab partner (TBD) to improve access to and quality of lab services and lab information systems, including quality assurance (QA) of both HIV testing and associated counseling at the facility level, the introduction of new technologies, and improved turn-around time for lab results.
- The lead CDC epidemiology/research partner (TBD) to coordinate major research activities to ensure strengthening of local counterparts in epidemiology and use of evidence to shape programs and policy.
- The lead CDC infrastructure/renovations mechanism (TBD) to coordinate minor and major improvements to facilities.

**b. With organizations external to CDC:**

The MOH CoAg PCU is expected to collaborate with:

- The Ministry of Health Programs, including, among others the National TB Control Program, National AIDS Program, Sexual and Reproductive Health Unit, Health Laboratory System, Central Medical Stores, Strategic Information Department, Rural Health Motivator Program, the senior health administrator/regional health management teams, Planning Unit, the Medical and Dental Council, the Nursing Council, the Training Unit, etc. The Partner will be required to participate in all necessary TWGs where it will collaborate with other MOH partners and stakeholders to provide relevant TA to the national TB and HIV care and treatment programs.
- Other PEPFAR (USAID, Peace Corps, Department of Defense) team leads and funded partners including PMTCT/MNCH; health management information systems; supply chain; impact mitigation; human and institutional capacity development; prevention; and uniformed services.
- The USAID funded community prevention initiative (currently HC3) to develop appropriate communication strategies to reduce stigma for TB, HIV, link and retain individuals to appropriate care and prevention services, and promote TB IPC activities in facilities and communities.
- The USAID funded impact mitigation partners (currently FHI360 and PACT) to ensure linkages between OVC programs and clinical services.
- The USAID funded human and institutional capacity development partners (currently HRAA, Abt HFG, and URC ASSIST) to ensure that pre-service and in-service trainings and continuing professional development programs are aligned with a broader HRH strategy, and that there is an absorption plan for all donor-funded positions.
- The USAID funded prevention partners (including PSI and a male circumcision partner TBD) to ensure coordination and linkages between prevention and clinical services.
- The USAID funded health management information systems partner (currently IHM) to ensure coordination regarding implementation and ongoing improvement of the HMIS system (including introduction of M-health technologies) in health care facilities.
- The USAID funded supply chain systems partner (currently MSH) to ensure coordination regarding implementation and ongoing improvement of the supply chain system for health care commodities in health care facilities.

- UN Agencies (WHO, UNICEF, etc.) to ensure consistency with implementation of clinical guidelines and with the World Food Program to strengthen referrals for nutritional support for those in need.
- National Organizations' such as Swaziland Standards Authority (SWASA) to align quality standards with international standards.
- All nursing institutions (Southern African Nazarene University, University of Swaziland, Good Shepherd Nursing College) PEPFAR HRH partner and MOH programs and partners to ensure that pre-service programs are aligned with a broader HRH strategy.
- NERCHA to coordinate implementation of Global Fund activities.
- Other key development partners such as World Bank, MSF and CHAI on the implementation and coordination of national, regional and facility-level activities.

**2. Target Populations:**

This FOA targets managers at national, regional, facility and community level to help them define their roles to augment quality of HIV/TB services (and other health services).

It will also insure that a significant number (>50%) of HCW (doctors, nurses, allied health workers and administrators) in facilities have training on quality improvement methodologies, and on ISO awareness.

The staff in the Quality Management will be capacitated on performing quality assurance functions, and on ISO implementation and maintenance. These activities ultimately benefit the consumers of HIV/TB and other Health Care Services in Swaziland.

**Inclusion:**

N/A

**b. Evaluation and Performance Measurement:**

**i. CDC Evaluation and Performance Measurement Strategy:**

This section lays out a framework for evaluation and performance monitoring and describes how the CDC program will work with the awardee to determine the effectiveness of their activities.

Up to 8% of the FOA budget can be used to fund performance measurement.

**Mid-Term and End-of-Term Co-Ag evaluation:**

- The Cooperative Agreement is set to run over 5 years. There will be a mid-term evaluation conducted after completion of the second year of the cooperative agreement, and an end of term evaluation conducted 12 months before the end of the life of the cooperative agreement.
- A composite set of indicators will be developed within the first six months to create a realistic picture of expected project processes, outputs and outcomes. Indicators developed will be both qualitative and quantitative to reflect the nature of information required in response to the agreed evaluation questions.
- Data collection will include:
  - Site visits to respective hospitals, health centers, clinics
  - Interviews with Senior management in the Directorate, RHMTs, Quality
  - Committees in the health facilities, and HODs in the facilities.
  - Document reviews: minutes of standard meetings, minutes of management reviews, organograms, scope of function of departments, documentation on job descriptions and roles and responsibilities, documentation on key departmental processes, review of identified targets and objectives, review of audits done and customer surveys, review of mitigation plans and close out logs of issues raised, review of Quality Improvement Project documentation, and analyses of relevant program documents and databases.
- The evaluations shall have defined Terms of Reference (TOR) developed that describe key evaluation questions, use of quantitative and qualitative methods, timelines, lines of responsibility, costs, etc.
- External evaluations can be conducted by USG staff from other offices or by external consultancy teams.

The Mid-term and End-of-term evaluation topics and questions will be based on the goal, objectives, activities, outputs and outcomes.

**Generic questions asked in the program evaluation will include:**

*Process:*

- Have the personnel identified for training on Quality Improvement methods and on ISO implementation, maintenance, and auditing been trained? Has training been sufficient to develop the required competencies?

- Have the key documents been developed in all the required areas?
- Are Quality Improvement projects being initiated and documented? Are learning experiences being shared?
- Are QA tools being developed? And QA capacity being built in the staff of the QA department?
- Has support staff for the development of the ISO system been hired? Suitable counterpart been identified within the facilities?
- Is the site monitoring system operational?
- Are quarterly regional performance review and annual national performance review meetings occurring?
- Are the required management meetings occurring at the right intervals with minute taking and management plans for resolutions of identified issues?
- Has the QA/QI database been updated and data accessible for national and regional level analysis?
- Have QA/QI modules been concluded in the pre-service curriculum?

*Outcome:*

- Did the health impact (prevalence, incidence and mortality) change and were health facilities and systems strengthened over time?
- Has client satisfaction improved?
- Has QI been institutionalized in an increasing number of facilities? Are projects sustained and new projects being identified through an appropriate process?

**Process monitoring will be achieved through:**

- Site Monitoring Visits: The QM program will organize and lead a systematic site visiting program. The purpose of the visits will be to ensure that Quality Improvement and ISO implementation activities are ongoing. Approximately 40 site visits will be done per quarter.
- Regular meeting at facility level, regional level and at national level
  - Monthly management review meeting in the facilities
  - Quarterly Program Performance Monitoring within the regions
  - Annual National Management reviews
- Establishment of review committee
- Data Quality Assurance (DQAs): DQA visits shall be carried out routinely at clinical sites at least every two years and information gathered shall be used to provide formative process monitoring and evaluation of the primary in country partner implementation activities with regards to quality of data generated.
- Routine Expenditure Analyses: - Annual Expenditure Analyses shall be carried out to compare financial expenditures to program outputs, outcomes and impacts. The following types of analyses shall be carried out:
  - Intended focus of USG spending and investment (Performance Comparisons)
  - Allocative Efficiency of USG spending (Simple Inductive Analysis; Simple Congruence Analysis and Estimating Marginal

Returns)

- Technical Efficiency of USG spending (Public Expenditure Tracking and Cost Effectiveness Analysis)
- Accountability of USG spending (Incidence Analysis and Impact Evaluation)

National and regional HMIS system in the country will be used as the primary source of data for monitoring and measuring output and outcome indicators of program performance. Monitoring and measurement of impact indicators will be part of the country's response to measuring its HIV epidemic and is included in the national strategic plan and national M&E plan.

Performance measures will be monitored and reported in a quarterly basis against targets outcome indicators (see table below). CDC Evaluation and Performance Measurement approach recognizes the importance of robust monitoring and evaluation of each intervention.

The QM program will liaise with the M& E department, and with the different programs providing services to track the effect on the level and efficacy of service delivery. At the management review meetings at the facility, regional, and national level, there will be a review of run charts of key targets and objects to determine trends. The management teams are also required to decide, collectively, as to whether or not the management system they are developing is impacting positively on the facility.

Evaluation findings and performance measures will be discussed as relevant at facility level, regional and national forums with the objective of providing evidence based program quality improvement action plans. This will in turn yield findings to demonstrate the value of the FOA that can be disseminated to key local and international stakeholders.

<u>Targets</u>	<u>Indicator</u>	<u>Data source</u>	<u>Reporting Frequency</u>
To increase leadership awareness and governance capacity in all senior staff within the MOH by 2017.	% of Senior staff trained leadership and governance	MOH QM program	Quarterly
	% of Senior with signed off key performance areas	MOH QM program	Quarterly
To establish quality improvement projects in 90% of the 162 public and mission health care facilities in Swaziland by 2019.	Number of QI Projects initiated	MOH QM program	Quarterly
	% of facilities with QI projects	MOH QM program	Quarterly
To capacitate the National Quality Management program to establish quality assurance systems in 40 health care facilities in Swaziland annually.	Number of facilities developing QI Systems	MOH QM program	Quarterly
To sensitize all senior staff and HODs within the Ministry of Health workforce on ISO 9001 requirements.	Number of Senior staff trained on ISO 9001 requirements	MOH QM program	Quarterly
	% of Senior staff trained on ISO 9001 requirements	MOH QM program	Quarterly
To achieve certification in four hospitals in Swaziland (one per region) by 2019.	Progress against implementation plan	MOH QM program	Quarterly

<u>Targets</u>	<u>Indicator</u>	<u>Data source</u>	<u>Reporting Frequency</u>
To establish a process and criteria for Health Services Accreditation by 2016 and begin facility assessments for accreditation by 2018.	Process and criteria document for accreditation	MOH QM program	Quarterly
To develop a regional support base for ISO systems and improve RHMT function and effectiveness to address 100% of non-conformances identified at quarterly meetings by 2017.	Number of non- conformances generated	RHMT	Quarterly
	% of non- conformances closed out	RHMT	Quarterly
To bring 5 health centers up to 90% compliance with Essential Health Care Package requirements by 2019.	% compliance with EHCP criteria for each facility	MOH QM program	6 monthly
Management review meetings held regularly at facility regional and national level institutionalized within the MOH and 90% of action items noted are formally addressed.	Number of management review meetings held	MOH QM program	Annually
	% of action items closed out	MOH QM program	Annually
Monthly facility performance review meetings established within 80% of facilities.	Number of management review meetings held	Facility	Annually
	% of action items closed out	Facility	Monthly

**ii. Applicant Evaluation and Performance Measurement Plan:**

Applicants must provide an overall jurisdiction- or community-specific evaluation and performance measurement plan that is consistent with the CDC strategy. At a minimum, the plan must:

- Describe how key program partners will participate in the evaluation and performance measurement planning processes.
- Describe the type of evaluations (i.e., process, outcome, or both) to be conducted.
- Describe key evaluation questions. Describe other information (e.g., performance measures to be developed by the applicant), as determined by the CDC program, that must be included.
- Describe potentially available data sources and feasibility of collecting appropriate evaluation and performance data.
- Describe how evaluation findings will be used for continuous program quality improvement.
- Describe how evaluation and performance measurement will contribute to developing an evidence base for programs that employ strategies lacking a strong effectiveness evidence base.

**c. Organizational Capacity of Awardees to Execute the Approach:**

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/hhsgps107.pdf>

**d. Work Plan:**

Applicant must 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 plan for the subsequent years.

**e. CDC Monitoring and Accountability Approach**

Monitoring activities include routine and ongoing communication between CDC and awardees, site visits, and awardee reporting (including work plans, performance, and financial reporting). HHS grants policy specifies the following HHS expectations for post-award monitoring for grants and cooperative agreements:

- Tracking awardees progress in achieving the desired outcomes.
- Insuring the adequacy of awardee 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:

- Ensuring that work plans are feasible based on the budget and consistent with the intent of the award.
- Ensuring that awardees are performing at a sufficient level to achieve objectives within stated timelines.
- Working with awardees on adjusting the work plan based on achievement of objectives and changing budgets.
- Monitoring performance measures (both programmatic and financial) to assure satisfactory performance levels.
- Other activities deemed necessary to monitor the award, if applicable.

These may include monitoring and reporting activities as outlined in HHS grants policy that assists grants management staff (e.g., grants management officers and specialists, and project officers) in the identification, notification, and management of high-risk grantees.

**f. CDC Program Support to Awardees**

In a cooperative agreement, CDC staff is substantially involved in the program activities, above and beyond routine grant monitoring. CDC activities for this program are as follows:

1. Organize an orientation meeting with the grantee for a briefing on applicable U.S. Government, HHS/CDC, and President's Emergency Plan for AIDS Relief (PEPFAR) expectations, regulations and key management requirements, as well as report formats and contents. The orientation could include meetings with staff from HHS agencies and the Office of the U.S. Global AIDS Coordinator (OGAC).
2. Review and make recommendations as necessary to the process used by the grantee to select key personnel and/or post-award subcontractors and/or subgrantees to be involved in the activities performed under this agreement, as part of the President's Emergency Plan for Relief (PEPFAR) Country Operational Plan (COP) review and approval process, managed by the OGAC.
3. Review and approve grantee's annual work plan and detailed budget, as part of the Emergency Plan for AIDS Relief Country Operational Plan review-and-approval process, managed by the Office of the U.S. Global AIDS Coordinator.
4. Review and approve the grantee's monitoring and evaluation plan, including for compliance with the strategic information guidance established by the OGAC.
5. Meet on a regular basis with the grantee to assess expenditures in relation to approved work plan and modify plans as necessary.
6. Meet on a quarterly basis with the grantee to assess quarterly technical and financial progress reports and modify plans as necessary.
7. Meet on an annual basis with the grantee to review annual progress report for each U.S. Government Fiscal Year, and to review annual work plans and budgets for the subsequent year, as part of the PEPFAR review and approval process for COPs, managed by OGAC.
8. 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 strategic information, project management, and confidential counseling and testing.
9. Provide in-country administrative support to help the grantee meet U.S. Government financial and reporting requirements approved by the Office of Management and Budget (OMB) under 0920-0428.
10. Collaborate with the grantee 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, the presentation and possibly publication of program results and findings, and the management and tracking of finances.

11. Provide technical assistance or advice on any data collections on 10 or more people that are planned or conducted by the awardee. 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 PRA clearance prior to the start of the project.
12. Provide consultation and scientific and technical assistance based on appropriate HHS/CDC and OGAC documents to promote the use of best practices known at the time.
13. Assist the grantee in developing and implementing quality-assurance criteria and procedures.
14. Facilitate in-country planning and review meetings for technical assistance activities.
15. Provide technical oversight for all activities under this award.
16. Conduct service delivery site visits through the Site Monitoring System (SMS) to monitor and evaluate site capacity to provide high-quality HIV/AIDS services in all program areas by assessing and scoring key program area elements of site performance and work with the grantee on identified gaps and continuous quality improvement.
17. 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
18. Supply the awardee with protocols for related evaluations.

## **B. Award Information**

### **1. Type of Award:**

Cooperative Agreement: CDC's substantial involvement in this program is indicated in the "CDC program Support to Awardees" section of this document.

### **2. Award Mechanism:**

U2G-Global HIV/AIDS Non-Research Cooperative Agreements

### **3. Fiscal Year:**

2015

### **4. Approximate Total Fiscal Year Funding:**

\$1,200,000.00

### **5. Approximate Total Project Period Funding:**

None

<b>6. Total Project Period Length:</b>
5 Years
<b>7. Approximate Number of Awards:</b>
1
<b>8. Approximate Average Award:</b>
\$1,200,000.00
<b>9. Floor of Individual Award Range:</b>
None
<b>10. Ceiling of Individual Award Range:</b>
\$1,200,000.00 (This amount is subject to the availability of funds).
<b>11. Anticipated Award Date:</b>
April 1, 2015
<b>12. Budget Period Length:</b>
12 months
<p>Throughout the project period, CDC will continue the award based on the availability of funds, the evidence of satisfactory progress by the awardee (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 project period comprises the initial competitive segment and any subsequent non-competitive continuation award(s).</p> <p><b>Note: Applicants must only apply for the first budget period funding, taking into consideration the floor of the individual award range and the ceiling of the individual award range. The proposed budget for the first budget period must not exceed the ceiling of the individual award range. If a funding amount greater than the ceiling of the individual award range is requested, the application will be considered non-responsive and will not be entered into the review process.</b></p>
<b>13. Funds Tracking:</b>
Applicant is required to track fund by P-accounts/sub accounts for each project/cooperative agreement awarded.
<b>14. Direct Assistance:</b>
Direct assistance is not available through this FOA
<b>15. Indirect Costs:</b>
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). The CDC will not reimburse indirect costs unless the recipient has an indirect cost rate covering the applicable activities and period.
<b>C. Eligibility Information</b>
<b>1. Eligible Applicants:</b>
Eligible applicants that can apply for this FOA are listed below:
Swaziland Ministry of Health

<b>2. Special Eligibility Requirements:</b>
N/A
<b>3. Justification for Less than Maximum Competition:</b>
<p>Only the Ministry of Health (MOH), under the Government of the Kingdom of Swaziland may apply for this funding opportunity. As the government lead ministry responsible for the delivery of HIV/AIDS prevention, care and treatment services, the MOH is a primary recipient of funds for HIV/AIDS prevention care and treatment activities. Through past collaboration with CDC, the MOH has worked to strengthen its management structure and systems to assure its ability, both in terms of fiscal accountability and managerial leadership, to effectively administer external funding for HIV/AIDS programs. This agreement builds upon the past CDC-MOH collaboration by increasing the capacity of the MOH to monitor and continually improve the quality of health services in Swaziland through nationally-owned quality assurance (QA) and accreditation programs.</p> <p>Justification for single eligibility memo approved on August 28, 2014.</p>
<b>4. Other:</b>
N/A
<b>5. Cost Sharing or Matching:</b>
Cost sharing or matching funds are not required for this program. Although there is no statutory match requirement for this FOA, leveraging other resources and related ongoing efforts to promote sustainability is strongly encouraged.
<b>6. Maintenance of Effort:</b>
Maintenance of Effort is not required for this program.
<b>D. Application and Submission Information</b>
<p>Additional materials that may be helpful to applicants:  <a href="http://www.cdc.gov/od/pgo/funding/docs/FinancialReferenceGuide.pdf">http://www.cdc.gov/od/pgo/funding/docs/FinancialReferenceGuide.pdf</a>.</p>
<b>1. Required Registrations:</b>
<p>An organization must be registered at the three following locations before it can submit an application for funding at <a href="http://www.grants.gov">www.grants.gov</a>.</p> <p>a. <b>Data Universal Numbering System:</b> 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 &amp; Bradstreet (D&amp;B). It will be used as the Universal Identifier when applying for federal awards or cooperative agreements.</p> <p>The applicant organization may request a DUNS number by telephone at 1-866-705-5711 (toll free) or internet at <a href="http://fedgov.dnb.com/webform/displayHomePage.do">http://fedgov.dnb.com/webform/displayHomePage.do</a>. The DUNS number will be provided at no charge.</p> <p>If funds are awarded to an applicant organization that includes sub-awardees, those sub-awardees must provide their DUNS numbers before accepting any funds.</p> <p>b. <b>System for Award Management (SAM):</b> 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 an awardee. 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</p>

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 [www.SAM.gov](http://www.SAM.gov).

- 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 “Get Registered” 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.

Step	System	Requirements	Duration	Follow Up
1	Data Universal Number System (DUNS)	<ol style="list-style-type: none"> <li>1. Click on <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a></li> <li>2. Select Begin DUNS search/request process</li> <li>3. Select your country or territory and follow the instruction to obtain your DUNS 9-digit #</li> <li>4. Request appropriate staff member(s) to obtain DUNS number, verify &amp; update information under DUNS number</li> </ol>	1-2 Business Days	To confirm that you have been issued a new DUNS number check online at ( <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a> ) or call 1-866-705-5711
2	System for Award Management (SAM) formerly Central Contractor Registration (CCR)	<ol style="list-style-type: none"> <li>1. Retrieve organizations DUNS number</li> <li>2. Go to <a href="http://www.sam.gov">www.sam.gov</a> 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)</li> </ol>	3-5 Business Days but up to 2 weeks and must be renewed once a year	For SAM Customer Service Contact <a href="http://www.fsd.gov/US">www.fsd.gov/US</a> Calls: 866-606-8220
3	Grants.gov	<ol style="list-style-type: none"> <li>1. Set up an individual account in Grants.gov using organization new DUNS number to become an authorized organization representative (AOR)</li> <li>2. Once the account is set up the E-BIZ POC will be notified via email</li> <li>3. Log into grants.gov using the password the E-BIZ POC received and create new password</li> <li>4. This authorizes the AOR to submit applications on behalf of the organization</li> </ol>	Same day but can take 8 weeks to be fully registered and approved in the system (note, applicants MUST obtain a DUNS number and SAM account before applying on grants.gov)	Register early! Log into grants.gov and check AOR status until it shows you have been approved

**2. Request Application Package:**

Download the application package from [www.grants.gov](http://www.grants.gov)

**3. Application Package**

Applicants must download the SF-424 application package associated with this funding opportunity from [www.grants.gov](http://www.grants.gov). If Internet access is not available, or if the online forms cannot be accessed, applicants may call the CDC PGO staff at 770-488-2700 or e-mail PGO [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov) for assistance. Persons with hearing loss may access CDC telecommunications at TTY 1-888-32-6348.

**4. Submission Dates and Times:**

If the application is not submitted by the deadline published in the FOA, it will not be processed. PGO 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 PGO.

If Grants.gov cannot receive applications due to an emergency or other unanticipated event (and

<p>circumstances preclude advance notification of an extension), then applications must be submitted by the first business day on which government operations resume.</p>
<p><b>a. Letter of Intent (LOI) Deadline Date:</b> (must be postmarked by): N/A</p>
<p><b>b. Application Deadline Date:</b> December 30, 2014, 11:59 p.m. U.S. Eastern Standard Time, at <a href="http://www.grants.gov">www.grants.gov</a>. Late submissions will be considered non-responsive.</p> <p>If Grants.gov cannot receive applications due to an emergency or other unanticipated event (and circumstances preclude advance notification of an extension), then applications must be submitted by the first business day on which government operations resume.</p>
<p><b>5. CDC Assurances and Certifications:</b></p>
<p>All applicants are required to sign and submit CDC Assurances and Certifications documents that can be found on the CDC Web site: <a href="http://www.cdc.gov/od/pgo/funding/grants/foamain.shtm">http://www.cdc.gov/od/pgo/funding/grants/foamain.shtm</a></p> <p>Applicants may follow either of the following processes:</p> <ul style="list-style-type: none"> <li>• Applicants must name this file “Assurances and Certifications” and upload as a PDF on <a href="http://www.grants.gov">www.grants.gov</a>.</li> <li>• Complete the applicable assurances and certifications and submit them directly to CDC on an annual basis at <a href="http://www.cdc.gov/od/pgo/funding/grants/foamain.shtm">http://www.cdc.gov/od/pgo/funding/grants/foamain.shtm</a></li> </ul> <p>Assurances and certifications submitted directly to CDC will be kept on file for 1 year and will apply to all applications submitted to CDC within one year of the submission date.</p>
<p><b>6. Content and Form of Application Submission:</b></p>
<p>Applicants are required to submit all of the documents outlined below as their application package on <a href="http://www.grants.gov">www.grants.gov</a>.</p>
<p><b>7. Letter of Intent (LOI):</b></p>
<p>A letter of intent is not applicable to this funding opportunity announcement.</p>
<p><b>8. Table of Contents:</b></p>
<p>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 <a href="http://www.grants.gov">www.grants.gov</a>. There is no page limit. The table of contents is not included in the project narrative page limit</p>
<p><b>9. Project Abstract Summary:</b></p>
<p>(Maximum of 1 page)</p> <p>A project abstract is included on the mandatory documents list and must be submitted at <a href="http://www.grants.gov">www.grants.gov</a>. 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 <a href="http://www.grants.gov">www.grants.gov</a>.</p>
<p><b>10. Project Narrative:</b></p>
<p>(Maximum of 18 pages, single spaced, Calibri 12 point, 1-inch margins, number all pages, content beyond 18 pages will not be reviewed).</p> <p>The Project Narrative must include all of the bolded headings shown in this section. 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 project period as identified in the CDC Project Description section.</p>

Applicants must submit a Project Narrative with the application forms. Applicants must name this file “Project Narrative” and upload it at [www.grants.gov](http://www.grants.gov).

**a. Background:** Applicants should provide a description of relevant background information that includes the context of the problem (see CDC Background).

**b. Approach**

**Problem Statement:** Applicants must describe the core information relative to the problem for the jurisdictions or populations they serve. The core information should help reviewers understand how the applicant’s response to the FOA will address the public health problem and support public health priorities. (See CDC Project Description).

**Purpose:** Applicants must describe specifically how their application will address the problem as described in the CDC Project Description.

**Outcomes:** Applicants must clearly identify the outcomes they expect to achieve by the end of the project period. Outcomes are the results that the program intends to achieve. All outcomes should indicate the intended direction of change (i.e., increase, decrease, maintain). See the program logic model in the Approach section of the CDC Project Description. In addition to the project period outcomes required by CDC, applicants should include any additional outcomes they anticipate.

**Strategy and Activities:** The applicant must provide a clear and concise description of the strategies and activities they will use to achieve the project period outcomes. Whenever possible, applicants should use evidence-based program strategies as identified by the Community Guide<sup>1</sup> (or similar reviews) and reference it explicitly as a source. Applicants may propose additional strategies and activities to achieve the outcomes. Applicants should select existing evidence-based strategies that meet their needs, or describe the rationale for developing and evaluating new strategies or practice-based innovations. (See CDC Project description: Strategies and Activities section).

- 1. Collaborations:** Applicants must describe how they will collaborate with CDC funded programs as well as with organizations external of CDC.
- 2. Target Populations:** Applicants must describe the specific target population(s) to be addressed in their jurisdiction to allocate limited resources, target those at greatest health risk, and achieve the greatest health impact. Applicants should use data, including social determinants data, to identify communities within their jurisdictions or community served that are disproportionately affected by the public health problem, and plan activities to reduce or eliminate these disparities. Disparities by race, ethnicity, gender identity, sexual orientation, geography, socioeconomic status, disability status, primary language, health literacy, and other relevant dimensions (e.g., tribal communities) should be considered.

**Inclusion:** N/A

**c. Applicant Evaluation and Performance Measurement Plan:** Applicants must provide an overall

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<sup>1</sup> <http://www.thecommunityguide.org/index.html>

jurisdiction or community-specific evaluation and performance measurement plan that is consistent with the CDC Evaluation and Performance Measurement Strategy section of the CDC Project Description of this FOA. Data collected must be used for ongoing monitoring of the award to evaluate its effectiveness, and for continuous program improvement.

The plan must:

- Describe how key program partners will be engaged in the evaluation and performance measurement planning processes.
- Describe the type of evaluations to be conducted (i.e. process and/or outcome).
- Describe key evaluation questions to be answered.
- Describe other information, as determined by the CDC program (e.g., performance measures to be developed by the applicant) that must be included.
- Describe potentially available data sources and feasibility of collecting appropriate evaluation and performance data.
- Describe how evaluation findings will be used for continuous program and quality improvement.
- Describe how evaluation and performance measurement will contribute to development of that evidence base, where program strategies are being employed that lack a strong evidence base of effectiveness.

Awardees will be required to submit a more detailed evaluation and performance measurement plan within the first six months of the project, as outlined in the reporting section of the FOA.

**d. Organizational Capacity of Awardees to Execute the Approach:**

Applicant must address the organizational capacity requirements as described in the CDC Project Description. Applicants must submit CVs/Resumes of Principal Investigators, Project Coordinator, and Finance Officer, as well as detailed job descriptions of these key positions. Applicants must also submit Organizational Charts of the Project Coordinating Unit and how it fits within the MOH structure. These items must be submitted as part of the appendix, clearly named "CVs/Resumes," "Job Descriptions," and "Organizational Charts," and uploaded as PDF files at [www.grants.gov](http://www.grants.gov).

**11. Work Plan:**

(Included in the Project Narrative- 18 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 awardee plans to carry out achieving the project period outcomes, strategies, and activities, evaluation and performance measurement, including key milestones.

**12. Budget Narrative:**

Applicants must submit an itemized, line-item budget and narrative with staffing breakdown (i.e., name, position title, annual salary, percentage of time and effort, and amount requested) and justification for all requested costs for the first budget period. Budgets must be consistent with the purpose, objectives of the Emergency Plan, and the program activities listed in this announcement. When developing the budget narrative, applicants should 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
- Alterations and Renovations
- Other categories
- Contractual costs
- Total Direct costs
- Total Indirect costs

The detailed budget should identify costs associated with potential data collection activities from persons, personal records, or for laboratory specimen collection and testing that may result in a public report. For each of the potential data collection activities, also state the costs for any preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation).

When developing the budget narrative, applicants should consider whether the proposed budget is reasonable and consistent with the purpose, outcomes and program strategy outlined in the project narrative. All budget justification pages must be numbered.

For guidance on completing a detailed budget, see Budget Preparation Guidelines at: <http://www.cdc.gov/od/pgo/funding/budgetguide.htm>.

Applicants should name this “Budget Narrative” and upload as a PDF file to [www.grants.gov](http://www.grants.gov).

If requesting indirect costs in the budget, a copy of the indirect cost rate agreement is required. If the indirect cost rate is a provisional rate, the agreement must have been made less than 12 months earlier. Applicants should name this file “Indirect Cost Rate” and upload to [www.grants.gov](http://www.grants.gov).

If a funding amount greater than the ceiling of the individual award range is requested, the application will be considered non-responsive and will not be entered into the review process. The applicant will be notified that the application did not meet the eligibility requirements.

### **13. Tobacco and Nutrition Policies:**

Awardees are encouraged to implement tobacco and nutrition policies.

Unless otherwise explicitly permitted under the terms of a specific CDC award, no funds associated with this FOA can be used to implement the optional policies, and no applicants will be evaluated or scored on whether they choose to participate in implementing these optional policies.

The CDC supports implementing evidence-based programs and policies to reduce tobacco use and secondhand smoke exposure, and to promote healthy nutrition. CDC encourages all awardees to implement the following optional recommended evidence-based tobacco and nutrition policies within their own organizations. This builds upon the current federal commitment to reduce exposure to secondhand smoke, which includes The Pro-Children Act, 20 U.S.C. 7181-7184, that prohibits smoking in certain facilities that receive Federal funds in which education, library, day care, health care, or early childhood development services are provided to children.

#### **Tobacco Policies:**

1. Tobacco-free indoors – no use of any tobacco products (including smokeless tobacco) or electronic cigarettes in any indoor facilities under the control of the awardee
2. Tobacco-free indoors and in adjacent outdoor areas – no use of any tobacco products or electronic cigarettes in any indoor facilities, within 50 feet of doorways and air intake ducts, and in

courtyards under the control of the awardee

3. Tobacco-free campus – no use of any tobacco products or electronic cigarettes in any indoor facilities and anywhere on grounds or in outdoor space under the control of the awardee

**Nutrition Policies:**

1. Healthy food service guidelines should at a minimum, align with Health and Human Services and General Services Administration Health and Sustainability Guidelines for Federal Concessions and Vending Operations for cafeterias, snack bars, and vending machines in any facility under the control of the awardee and in accordance with contractual obligations for these services ([http://www.gsa.gov/graphics/pbs/Guidelines\\_for\\_Federal\\_Concessions\\_and\\_Vending\\_Operations.pdf](http://www.gsa.gov/graphics/pbs/Guidelines_for_Federal_Concessions_and_Vending_Operations.pdf))
2. The following are resources for healthy eating and tobacco free workplaces:  
<http://www.cdc.gov/nccdphp/dnpao/hwi/toolkits/tobacco/index.htm>  
<http://www.thecommunityguide.org/tobacco/index.html>  
<http://www.cdc.gov/chronicdisease/resources/guidelines/food-service-guidelines.htm>

**14. Intergovernmental Review:**

Executive Order 12372 does not apply to this program.

**15. Funding Restrictions:**

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

- Awardees may not use funds for research.
- Awardees may not use funds for clinical care except as allowed by law.
- Awardees may only use funds for reasonable program purposes, including personnel, travel, supplies, and services (such as contractual).
- Generally, awardees may not use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be clearly identified in the budget in accordance with CDC's budget guidelines.
- Pre-award costs may be allowable for successful applicants under this FOA prior to award.
- 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 awardees.
- 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.
- The applicant may contract with other organizations under this program; however the applicant must perform a substantial portion of the activities (including program management and operations, and delivery of prevention services for which funds are required.)
- All plans for data collection from persons 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 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.

- Human subjects data collection funding restrictions which require submission of protocols will be submitted within six months of notification of such requirement, 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 second budget period after the award or Continuation has been made, provided that the Grantee submits their protocol no later than the deadline.
- Needle Exchange – No funds made available under this award may be used for needle exchange programs.
- The recipient must use funds provided under the agreement for costs incurred in carrying out the purposes of the award which are reasonable, allocable, and allowable in accordance with applicable cost principles. Unallowable costs will be determined in accordance with the applicable cost principles.
  - “Reasonable” means the costs do not exceed those that would ordinarily be incurred by a prudent person in the conduct of normal business.
  - “Allocable” means the costs are necessary to the award.
  - “Allowable” means the costs are reasonable and allocable, and conform to any limitations set forth in the award.
- The recipient is encouraged to obtain the Grants Management Officer’s written determination in advance whenever the recipient is uncertain as to whether a cost will be allowable.
- The costs that are generally allowable in grants to domestic organizations are allowable to foreign institutions and international organizations, with the following exception: With the exception of the American University, Beirut and the World Health Organization, Indirect Costs will not be paid (either directly or through sub-award) to organizations located outside the territorial limits of the United States or to international organizations regardless of their location.
- 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 grantees for currency exchange fluctuations through the issuance of supplemental awards.
- Public Financial Management Assessment Clause: The Parties acknowledge that HHS/CDC has assessed the recipient’s systems required to manage the activities supported with US Government funds under this Agreement and that this Agreement 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.
- 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](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.
- **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 United States Government 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.

- **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 the CDC in writing.

- Definitions:
  - 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.
  - 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.
  - A multilateral organization is an organization established by international agreement and whose governing body is composed principally of foreign governments or other multilateral organizations.
- **Using PEPFAR funds for Implementing Partners (IPs) and Partner Government Officials**

IPs are required to notify their Project Officer immediately upon abstract acceptance. Once accepted, IPs are required to submit a written justification to their Project Officer stating the rationale for seeking support to attend the conference. IPs with accepted oral posters or oral abstracts for presentations that give clear attribution to PEPFAR may be authorized to use PEPFAR funds for travel providing that funds are available for travel. Funds for travel must be drawn from an existing agreement with the IP and not from PEPFAR country program management and operations budget. IPs must obtain prior approval from their respective Project Officer for participation and on availability and use of funds.

PEPFAR partner government officials who wish to attend any large conference using PEPFAR funds must submit requests to the Project Officer, who will work with this PEPFAR Coordination office in-country, or to the designated PEPFAR Point of Contact in countries without Coordinators. Final decisions will be made in collaboration with the PEPFAR Deputy Principals and responses will be circulated to Post.

- **Attribution to PEPFAR**

- All PEPFAR-related accepted abstracts presented by implementing partners during any conference (regardless of conference/meeting size) must be attributed to PEPFAR. All

posters must include the PEPFAR logo as well as the following language: "This research has been supported by the President's Emergency Plan for AIDS Relief (PEPFAR) through HHS/CDC under the terms of CDC-RFA-GH15-1584."

- **Abortion and Involuntary Sterilization Restrictions**

- Funds made available under this award must not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.
- Prohibition on Abortion-Related Activities:
  - No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate", as it relates to family planning assistance, must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.
  - No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded

- **Prostitution and Sex Trafficking**

- A standard term and condition of award will be included in the final notice of award; all applicants will be subject to a term and condition that none of the funds made available under this award may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. In addition, non-U.S. nongovernmental organizations will also be subject to an additional term and condition requiring the organization's opposition to the practices of prostitution and sex trafficking.

- **Trafficking in Persons Provision**

- No contractor or subrecipient under this Agreement that is a private entity may, during the period of time that the award is in effect:
  - 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;
  - procure any sex act on account of which anything of value is given to or received by any person; or
  - 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 the performance of this award or may be imputed to the contractor or subrecipient, HHS/CDC may, without penalty, (i) require the Grantee 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
- **Requirements for Voluntary Family Planning Projects**
  - A family planning project must comply with the requirements of this paragraph.
  - A project is a discrete activity through which a governmental or nongovernmental organization or Public International Organization (PIO) provides family planning services to people and for which funds obligated under this award, or goods or services financed with such funds, are provided under this award, except funds solely for the participation of personnel in short-term, widely attended training conferences or programs.
  - (3) Service providers and referral agents in the project must not implement or be subject to quotas or other numerical targets of total number of births, number of family planning acceptors, or acceptors of a particular method of family planning. Quantitative estimates or indicators of the number of births, acceptors, and acceptors of a particular method that are used for the purpose of budgeting, planning, or reporting with respect to the project are not quotas or targets under this paragraph, unless service providers or referral agents in the project are required to achieve the estimates or indicators.
  - (4) The project must not include the payment of incentives, bribes, gratuities or financial rewards to (i) any individual in exchange for becoming a family planning acceptor, or (ii) any personnel performing functions under the project for achieving a numerical quota or target of total number of births, number of family planning acceptors, or acceptors of a particular method of contraception. This restriction applies to salaries or payments paid or made to personnel performing functions under the project if the amount of the salary or payment increases or decreases based on a predetermined number of births, number of family planning acceptors, or number of acceptors of a particular method of contraception that the personnel affect or achieve.
  - (5) A person must not be denied any right or benefit, including the right of access to participate in any program of general welfare or health care, based on the person's decision not to accept family planning services offered by the project.
  - The project must provide family planning acceptors comprehensible information about the health benefits and risks of the method chosen, including those conditions that might render the use of the method inadvisable and those adverse side effects known to be consequent to the use of the method. This requirement may be satisfied by providing information in accordance with the medical practices and standards and health conditions in the country where the project is conducted through counseling, brochures, posters, or package inserts.
    - The recipient must notify CDC when it learns about an alleged violation in the requirements for voluntary family planning projects described in paragraphs (3), (4), or (5), above.
    - The recipient must investigate and take appropriate corrective action, if necessary, when it learns about an alleged violation and must notify CDC about violations in a project affecting a number of people over a period of time that indicate there is a systemic problem in the project.
    - The recipient must provide CDC such additional information about violations as CDC may request.
- **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.
- **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.
- **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.
- 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.

- **Conscience Clause**

An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

- Shall not be required, as a condition of receiving such assistance—
- To endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
- To endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
- Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described above.

- **Medically Accurate Information About Condoms**

Information provided about the use of condoms as part of projects or activities funded under the award must be medically accurate and must include the public health benefits and failure rates of such use.

- **Financing of Terrorism**

Consistent with numerous United Nations Security Council resolutions, including UNSCR 1267 (1999) ([http://www.undemocracy.com/S-RES-1269\(1999\).pdf](http://www.undemocracy.com/S-RES-1269(1999).pdf)), UNSCR 1368 (2001) ([http://www.undemocracy.com/S-RES-1368\(2001\).pdf](http://www.undemocracy.com/S-RES-1368(2001).pdf)), UNSCR 1373 (2001) ([http://www.undemocracy.com/S-RES-1373\(2001\).pdf](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.

- **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 Grantee 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.
- **Environmental Impact Statement**

HHS/CDC and the Applicant agree to implement the Project in conformance with the regulatory and legal requirements of the Partner Country's environmental legislation and HHS/CDC's environmental policies.

  - The Applicant is required to create and follow an environmental mitigation plan and report (EMPR) for each thematic area covered by this agreement. The EMPR shall include the following:
    - Coversheet;
    - Narrative with project specific information, including level of effort;
    - Annexes:
      - Environmental Screening Form (Table 1);
      - Identification of Mitigation Plan (Table 2);
      - Environmental Monitoring and Tracking Table (Table 3);
    - Photos and Maps, as appropriate.
  - The EMPR will capture potential environmental impacts and also inform whether a supplemental Initial Environmental Examination (IEE) is required and should be completed and submitted to HHS/CDC.
- **Branding**

All PEPFAR-funded programs or activities must adhere to PEPFAR branding guidance, which includes guidance on the use of the PEPFAR logo and/or written attribution to PEPFAR. PEPFAR branding guidance can be found at <http://www.pepfar.gov/reports/guidance/branding/index.htm>
- **The 8% Rule**

The President's Emergency Plan for AIDS Relief (PEPFAR) seeks to promote sustainability for programs through the development, use, and strengthening of local partnerships. The diversification of partners also ensures additional robust capacity at the local and national levels.

To achieve this goal, the Office of the Global AIDS Coordinator (OGAC) establishes an annual funding guideline for grants and cooperative agreement planning. Within each annual PEPFAR country budget, OGAC establishes a limit for the total amount of U.S. Government funding for HIV/AIDS activities provided to a single partner organization under all grant and cooperative agreements for that country. For U.S. Government fiscal year (FY) 2015, the limit is no more than 8 percent of the country's FY 2015 PEPFAR program funding (excluding U.S. Government management and staffing costs), or \$2 million, whichever is greater. The total amount of funding to a partner organization includes any PEPFAR funding provided to the partner, whether directly as prime partner or indirectly as sub-grantee. In addition, subject to the exclusion for umbrella awards and drug/commodity costs discussed below, all funds provided to a prime partner, even if passed through to sub-partners, are applicable to the limit. PEPFAR funds provided to an organization under contracts are not applied to the 8 percent/\$2 million single partner ceiling. Single-partner funding limits will be determined by PEPFAR after the submission of the COP(s). Exclusions from the 8 percent/\$2 million single-partner ceiling are made for (a) umbrella awards, (b) commodity/drug costs, and (c) Government Ministries and parastatal organizations. A parastatal organization is defined as a fully or partially state-owned corporation or government agency. For umbrella awards, grants officers will determine whether an award is an umbrella for purposes of exception from the cap on an award-by-award basis. Grants or cooperative agreements in which the primary objective is for the organization to make sub-awards and at least 75 percent of the grant is used for sub-awards, with the remainder of the grant used for administrative expenses and technical assistance to sub-grantees, will be considered umbrella awards and, therefore, exempted from the cap. Agreements that merely include sub-grants as an activity in implementation of the award but do not meet these criteria will not be considered umbrella awards, and the full amount of the award will count against the cap. All commodity/drug costs will be excluded from partners' funding for the purpose of the cap. The remaining portion of awards, including all overhead/management costs, will be counted against the cap.

Applicants should be aware that evaluation of proposals will include an assessment of grant/cooperative agreement award amounts applicable to the applicant by U.S. Government fiscal year in the relevant country. An applicant whose grants or cooperative agreements have already met or exceeded the maximum, annual single-partner limit may submit an application in response to this FOA. However, applicants whose total PEPFAR funding for this country in a U.S. Government fiscal year exceeds the 8 percent/\$2 million single partner ceiling at the time of award decision will be ineligible to receive an award under this FOA unless the U.S. Global AIDS Coordinator approves an exception to the cap. Applicants must provide in their proposals the dollar value by U.S. Government fiscal year of current grants and cooperative agreements (including sub-grants and sub-agreements) financed by the Emergency Plan, which are for programs in the country(ies) covered by this FOA. For example, the proposal should state that the applicant has \$\_\_\_\_\_ in FY 2015 grants and cooperative agreements (for as many fiscal years as applicable) in Swaziland. For additional information concerning this FOA, please contact the Grants Management Officer for this FOA.

#### **16. Other Submission Requirements:**

- a. Electronic Submission:** Applications must be submitted electronically at [www.grants.gov](http://www.grants.gov). The application package can be downloaded from [www.grants.gov](http://www.grants.gov). Applicants can complete the application package off-line, and then submit the application by uploading it at [www.grants.gov](http://www.grants.gov) website. All application attachments must be submitted using a PDF file format. Directions for creating PDF files can be found at [www.grants.gov](http://www.grants.gov). File formats other than PDF may not be readable by PGO TIMS staff.

Applications must be submitted electronically by using the forms and instructions posted for this funding opportunity on [www.grants.gov](http://www.grants.gov).

If Internet access is not available or if the forms cannot be accessed on-line, applicants may contact the PGO TIMS staff at 770-488-2700 or by e-mail at [pgotim@cdc.gov](mailto:pgotim@cdc.gov), Monday through Friday, 7:30 am–4:30 pm Eastern Standard Time (EST), except federal government holidays. Electronic applications will be considered successful if they are available to PGO TIMS staff for processing from [www.grants.gov](http://www.grants.gov) on the deadline date.

Do not use “special characters (i.e. %, &, \* etc.) on the cover page of your application (form SF 424 – Application for Federal Assistance) as special characters are not recognized by the electronic system. Use of special characters may result in your application being rejected. When copy/paste is used on application documents, the grantee should ensure that text only is pasted. When extra, blank spaces at the end of the original are pasted into the new document it causes the system to reject the document.

- b. Tracking Number:** Applications submitted through [www.grants.gov](http://www.grants.gov), are time/date stamped electronically and assigned a tracking number. The Authorized Organization Representative (AOR) will receive an email notice of receipt when [www.grants.gov](http://www.grants.gov) receives the application. The tracking number serves to document that the application has been submitted and initiates the electronic validation process before the application is made available to CDC.
- c. Validation Process:** Application submission is not concluded until successful completion of the validation process. After submission of the application package, applicants will receive a “submission receipt” email generated by [www.grants.gov](http://www.grants.gov). A second email message to applicants will then be generated by [www.grants.gov](http://www.grants.gov) that will either validate or reject the submitted application package. This validation process may take as long as two (2) business days. Applicants are strongly encouraged to check the status of their application to ensure submission of their package is complete 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 FOA. 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](http://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 Application User Guide, Version 3.0, page 57.

- d. Technical Difficulties:** If the applicant encounters technical difficulties with [www.grants.gov](http://www.grants.gov), the applicant should contact [www.grants.gov](http://www.grants.gov) Customer Service. The [www.grants.gov](http://www.grants.gov) Contact Center is available 24 hours a day, 7 days a week, with the exception of Federal Holidays. You can reach the [www.grants.gov](http://www.grants.gov) Contact Center at 1-800-518-4726 or by email at [support@www.grants.gov](mailto:support@www.grants.gov). Submissions sent by email, fax, CD’s or thumb drives of applications will not be accepted. Please note that [www.grants.gov](http://www.grants.gov) is managed by HHS.

If Grants.gov is inoperable and cannot receive applications due to an emergency or other unanticipated event that results in the suspension of government operations (and circumstances preclude advance notification of an extension), then applications must be submitted by the first

business day on which government operations resume.

- e. **Paper Submission:** If technical difficulties are encountered at [www.grants.gov](http://www.grants.gov), applicants should call the [www.grants.gov](http://www.grants.gov) Contact Center at 1-800-518-4726 or e-mail them at [support@www.grants.gov](mailto:support@www.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 or call 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 include the following three items:

1. Include the [www.grants.gov](http://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](http://www.grants.gov) Contact Center to submit electronically; and
3. Be received via e-mail to the GMS 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, PGO 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. Application Review Information

### 1. Review and Selection Process:

Applications will be reviewed in three phases

#### a. Phase I Review:

All applications will be reviewed initially for completeness by the CDC's Procurement and Grants Office (PGO) staff and will be reviewed jointly for eligibility by the CDC Division of Global HIV/AIDS and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance to Phase II review. Applicants will be notified that the application did not meet eligibility and/or published submission requirements.

#### b. Phase II Review:

N/A

#### c. Phase III Review:

N/A

### 2. Anticipated Announcement and Award Dates:

The anticipated announcement date is February 2015. The award date will be April 1, 2015.

## F. Award Administration Information

### 1. Award Notices:

Awardees will receive an electronic copy of the Notice of Award (NoA) from the CDC PGO. The NoA shall be the only binding, authorizing document between the awardee and CDC. The NoA will be signed by an authorized GMO and emailed to the awardee program director.

Any application awarded in response to this FOA 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 the results of the application review by email with delivery receipt or by mail.

### 2. Administrative and National Policy Requirements:

Awardees must comply with the administrative requirements outlined in 45 Code of Federal Regulations (CFR) Part 74 or Part 92, as appropriate. To view brief descriptions of relevant provisions 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)

The following administrative requirements apply to this project:

Generally applicable administrative requirements (ARs):

- AR-9: Paperwork Reduction Act
- AR-10: Smoke-Free Workplace
- AR-11: Healthy People 2020
- AR-12: Lobbying Restrictions
- AR-13: Prohibition on Use of CDC Funds for Certain Gun Control Activities
- AR-14: Accounting System Requirements
- AR-16: Security Clearance Requirement
- AR-21: Small, Minority, And Women-owned Business
- AR-24: Health Insurance Portability and Accountability Act
- AR-25: Release and Sharing of Data
- AR-26: National Historic Preservation Act of 1966
- AR-29: Compliance with EO13513, "Federal Leadership on Reducing Text Messaging while Driving," October 1, 2009
- AR-30: Compliance with Section 508 of the Rehabilitation Act of 1973
- AR- 32: Executive Order 131410: Promoting Quality and Efficient Health Care in Federal Government (If applicable applicants should be aware of the program's current business needs and how they align with nationally adopted Public Health Information Network (PHIN) standards, services, practices, and policies when implementing, acquiring, and updating public health information systems.)
- AR-33: Plain Writing Act of 2010
- AR-34: Patient Protection and Affordable Care Act (e.g. a tobacco-free campus policy and a lactation policy consistent with S4207)

ARs applicable to HIV/AIDS Awards:

- AR-4: HIV/AIDS Confidentiality Provisions
- AR-5: HIV Program Review Panel
- AR-6: Patient Care

Organization Specific ARs:

- AR-8: Public Health System Reporting (Community-based non-governmental organizations)
- AR-15: Proof of Non-profit Status (Non-profit organizations)
- AR 23: Compliance with 45 C.F.R. Part 87 (Faith-based organizations)

Potentially Applicable Public Policy Requirements

- False or Misleading Information
- Taxes: Certification of Filing and Payment of Taxes
- Fly America Act/ U.S. Flag Air Carriers
- National Environmental Policy Act

Pilot Program for Enhancement of Employee Whistleblower Protections: All applicants will have a condition of award that applies to 48 CFR section 3.908 requiring grantees to inform their employees in writing of employee whistleblower rights and protections under 41. U.S.C 4712 in the predominant native language of the workforce.

If applicable, award recipients will be required to submit an electronic version of the final, peer-reviewed manuscript of any work developed under this award upon acceptance for publication. Additional information will be provided in the award terms.

For more information on the Code of Federal Regulations, visit the National Archives and Records Administration at: <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>

**3. Reporting:**

**a. CDC Reporting Requirements:**

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

- Helps target support to applicants, particularly for cooperative agreements;
- Provides CDC with periodic data to monitor awardee progress towards meeting the FOA outcomes and overall performance;
- Allows CDC to track performance measures and evaluation findings for continuous program improvement throughout the project period and to determine applicability of evidence-based approaches to different populations, settings, and contexts; and
- Enables the assessment of the overall effectiveness and impact of the FOA.

As described in the following text, awardees must submit an annual performance report, ongoing performance measures data, administrative reports, and a final performance and financial report. A detailed explanation of any additional reporting requirements will be provided in the Notice of Award to successful applicants.

**b. Specific Reporting Requirements:**

**i. Awardee Evaluation and Performance Measurement Plan:**

Awardees must provide a more detailed evaluation and performance measurement plan within the first six months of the project. This more detailed plan should be developed by awardees as part of first-year project activities, with support from CDC. This more detailed plan should build on the elements stated in the initial plan, and should be no more than 25 pages. At a minimum, and in addition to the elements of the initial plan, this plan must:

- Indicate the frequency that evaluation and performance data are to be collected.
- Describe how data will be reported.
- Describe how evaluation findings will be used to ensure continuous quality and program improvement.
- Describe how evaluation and performance measurement will yield findings that will demonstrate the value of the FOA (e.g., effect on improving public health outcomes, effectiveness of FOA as it pertains to performance measurement, cost-effectiveness, or cost-benefit).
- Describe dissemination channels and audiences (including public dissemination).
- Describe other information requested and as determined by the CDC program.

When developing evaluation and performance measurement plans, applicants are encouraged to use the Introduction to Program Evaluation for Public Health Programs: A Self-Study Guide, available at: <http://www.cdc.gov/eval/guide/index.htm>

## ii. Annual Performance Report:

(due no later than 120 days before the end of the budget period and serves as a continuation application).

This report must not exceed 35 pages excluding work plan and administrative reporting. Attachments are not permitted, but web links are allowed. The awardee must submit the Annual Performance Report via [www.grants.gov](http://www.grants.gov) no later than 120 days before the end of the budget period. In addition, the awardee must submit an annual Federal Financial Report within 90 days after the end of the calendar quarter in which the budget year ends.

This report must include the following:

- **Performance Measures (including outcomes)** – Awardees must report on performance measures for each budget period and update measures, if needed
- **Evaluation Results** – Awardees must report evaluation results for the work completed to date (including any impact data)
- **Work Plan (maximum of 25 pages)** – Awardees should update work plan each budget period
- **Successes**
  - ✓ Awardees must report progress on completing activities outlined in the work plan
  - ✓ Awardees must describe any additional successes (e.g., identified through evaluation results or lessons learned) achieved in the past year
  - ✓ Awardees must describe success stories
- **Challenges**
  - ✓ Awardees should describe any challenges that hinder achievement of both annual and project period outcomes, performance measures, or their ability to complete the activities in the work plan
  - ✓ Awardees must describe any additional challenges (e.g., identified through evaluation results or lessons learned) encountered in the past year
- **CDC Program Support to Awardees**
  - ✓ Awardees should describe how CDC could assist them in overcoming any challenges to achieve both annual and project period outcomes and performance measures, and complete activities outlined in the work plan
- **Administrative Reporting (not subject to page limits)**
  - ✓ SF-424A Budget Information-Non-Construction Programs
  - ✓ Budget Narrative – Must use the format outlined in Section IV. Content and Form

- of Application Submission, Budget Narrative Section
- ✓ Indirect Cost Rate Agreement
- ✓ Pipeline Analysis – Expenditures versus budget as identified in work plan, description of challenges, and explanation of unexpected pipeline (high or low).
- **Measures of Effectiveness**
  - ✓ Include progress against the numerical goals of the President’s Emergency Plan for AIDS Relief for Swaziland and HHS/CDC guidance

**iii. Performance Measure Reporting:**

CDC programs must require awardees to submit performance measures annually at a minimum, and may require reporting more frequently. Performance measure reporting should be limited to the collection of data. When funding is awarded initially, CDC programs should specify reporting frequency, required data fields, and format.

**iv. Monitoring Reporting and Evaluation:**

CDC programs must ensure that grantee’s Evaluation and Performance Measurement Plan is aligned with the strategic information guidance established by OGAC and other HHS/CDC requirements, including PEPFAR’s Monitoring Reporting and Evaluation (MER) strategy and CDC’s Data for Partner Monitoring Program (DFPM).

**v. Federal Financial Reporting:**

The annual FFR form (SF-425) is required and must be submitted through eRA Commons<sup>2</sup> within 90 days after the end of the calendar quarter in which the budget year ends. The report should include only those funds authorized and disbursed during the timeframe covered by the report. The final report must indicate the exact balance of unobligated funds, and may not reflect any unliquidated obligations. The final FFR expenditure data and the Payment Management System’s (PMS) cash transaction data must correspond; no discrepancies between the data sets are permitted. Failure to submit the required information by the due date may affect adversely the future funding of the project. If the information cannot be provided by the due date, awardees are required to submit a letter of explanation and include the date by which the information will be provided.

**vi. Final Performance and Financial Report:**

At the end of the project period, awardees must submit a final report to include a final financial and performance report. This report is due 90 days after the end of the project period. The page limit for this report is not to exceed 40 pages.

At a minimum, this report must include the following:

- Performance Measures (including outcomes) – Applicants must report final performance data for all performance measures for the project period.
- Evaluation results – Applicants must report final evaluation results for the project period
- Impact of Results – Applicants must describe the effects or results of the work completed over the project period, including success stories.
- Additional forms as described in the Notice of Award, including Equipment Inventory Report and Final Invention Statement.
- FFR (SF-425)

Awardees should e-mail the report to the CDC PO and the GMS listed in the “Agency Contacts”

<sup>2</sup> <https://commons.era.nih.gov/commons/>

section of the FOA.

#### **4. Federal Funding Accountability and Transparency Act of 2006:**

Federal Funding Accountability And Transparency Act Of 2006 (FFATA), Public Law 109-282, the Federal Funding Accountability and Transparency Act of 2006 as amended (FFATA), 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, [www.USASpending.gov](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:

- [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109\\_cong\\_bills&docid=f:s2590enr.txt.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109_cong_bills&docid=f:s2590enr.txt.pdf),
- [https://www.fsrs.gov/documents/ffata\\_legislation\\_110\\_252.pdf](https://www.fsrs.gov/documents/ffata_legislation_110_252.pdf)
- [http://www.hhs.gov/asfr/ogapa/aboutog/Grants%20Management%20Information/ffata\\_guidelines.html](http://www.hhs.gov/asfr/ogapa/aboutog/Grants%20Management%20Information/ffata_guidelines.html).

#### **5. Programmatic Impact Reporting and Monitoring:**

- A. The recipient is responsible for managing and monitoring each project, program, subaward, function or activity supported through this Agreement. Recipients must monitor subawards to ensure that subrecipients have met the programmatic impact requirements as set forth in the subrecipient's agreement.
- B. The recipient must submit the original and two copies of annual and quarterly Performance reports and quarterly pipeline analysis reports. 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.
- C. Performance reports must generally 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 (section on M&E), any findings of an external entity, or both. Whenever appropriate and the output of programs or projects can be readily quantified, such quantitative data must be included in the reports and be related to cost data for computation of unit costs. Also included should be a brief description of the methods used to assure and assess the quality of the quantitative data, including any remediation taken to improve findings of poor data quality.
  - 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 the award-supported activities. Also, recipients must give notification immediately in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. This notification must

include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

- The Pipeline Analysis report must contain expenditures versus budget as identified in work plan, description of challenges, and explanation of unexpected pipeline (high or low).
- The standard reporting formats will be developed with CDC Swaziland.

The recipient is required to submit in a timely manner quarterly and annual program results for all relevant programmatic indicators in accordance with U.S. government guidance.

#### **6. Monitoring and Evaluation:**

- A. The recipient must submit a monitoring and evaluation plan for approval, and carry out monitoring and evaluation activities in accordance with the approved monitoring and evaluation plan. 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.
- B. 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. Where applicable, this includes support for, and response to, activities associated with the Site Monitoring System and implementation of Data and Service Quality Assessments.

#### **7. Expenditure Analysis**

Recipients of PEPFAR funds are required to report annually on program expenditures. Specifically, annual completion of PEPFAR Program Expenditures (Form DS-4213, approved by OMB 1405-0208, or the relevant OMB-approved format) will be required in conjunction with the PEPFAR Annual Progress Report at the completion of the USG fiscal year.

#### **8. Audit, Books, and Records Clause:**

- 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 US Government 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-recipients, 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-recipients' 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 (1), (2), (4), (5), (6), (7) and (8) of this provision into all sub-agreements with non-U.S. organizations which meet the \$300,000 threshold of paragraph (3) of this provision. Sub-agreements with non-U.S. organizations, which do not meet the \$300,000 threshold, must, at a minimum, incorporate paragraphs (7) and (8) of this provision. Sub-agreements with U.S. organizations must state that the U.S. organization is subject to the audit requirements contained in OMB Circular A-133.

## **9. Reporting of Foreign Taxes**

- 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 grantee 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 grantee did not pay any taxes during the reporting period.]
  - 2) Quarterly Report: The grantee 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 custom 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. grantee 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 grantee must include this reporting requirement in all applicable subgrants and other subagreements.

#### **10. Human Subjects Restrictions:**

Data collection protocols required for release of human subjects funding restrictions must be submitted to the DGHA 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 Grantee has not been granted an exception to the deadlines specified above.

#### **G. Agency Contacts**

CDC encourages inquiries concerning this announcement.

For **programmatic technical assistance**, contact:

Mary Mulholland, Project Officer  
Department of Health and Human Services  
Centers for Disease Control and Prevention  
U.S. Embassy  
PEPFAR Office  
PO Box 199  
Mbabane, Swaziland  
Telephone: +268 7802 9691  
Email: [MulhollandMA@state.gov](mailto:MulhollandMA@state.gov)

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

Randolph Williams, Grants Management Officer  
Department of Health and Human Services  
CDC Procurement and Grants Office  
2920 Brandywine Road, MS K75  
Atlanta, GA 30341  
Telephone: 770-488-8382  
Email: [gur2@cdc.gov](mailto:gur2@cdc.gov)

For assistance with submission difficulties related to [www.grants.gov](http://www.grants.gov), contact:

[www.grants.gov](http://www.grants.gov) Contact Center: 1-800-518-4726.  
Hours of Operation: 24 hours a day, 7 days a week. Closed on Federal holidays.

For all other submission questions, contact:

Technical Information Management Section  
Department of Health and Human Services

CDC Procurement and Grants Office  
2920 Brandywine Road, MS E-14  
Atlanta, GA 30341  
Telephone: 770-488-2700  
Email: [pgotim@cdc.gov](mailto:pgotim@cdc.gov)

CDC Telecommunications for individuals with hearing loss is available at: TTY 1.888.232.6348

## H. Other Information

Following is a list of acceptable attachments that applicants must upload as PDF files part of their application at [www.grants.gov](http://www.grants.gov). Applicants may not attach documents other than those listed; if other documents are attached, that document will not be reviewed.

- Project Abstract (required form)
- CDC Assurances and Certifications (required form)
- Table of Contents for Entire Submission (no page limit)
- Project Narrative/Work Plan (maximum 18 pages)
- Budget Narrative (no page limit)
- SF424 (required form)
- SF424A (required form)

Applicants may submit additional information in an Appendix. The appendices will not be counted toward the project narrative page limit. **The total amount of appendices must not exceed 90 pages.** Any pages after page 90 of the appendix will not be considered for review. The following documents must be included in the application appendices:

- **Resumes/CVs of current key staff** who will work on the activity, including, but not limited to: Principal Investigator, Business Official, Project Manager
  - **Please refer to Section D, #10, part d, “Organizational Capacity of Awardees to Execute the Approach” for specific job descriptions required in this FOA, as applicable**
- **Job Descriptions of proposed key positions** to be created for the activity, including, but not limited to: Principal Investigator, Business Official, Project Manager
  - **Please refer to Section D, #10, part d, “Organizational Capacity of Awardees to Execute the Approach” for specific job descriptions required in this FOA, as applicable**
- **Letters of support:** See Collaborations section and Funding Preference section, as applicable
- **Memorandums of Understanding/Agreements (MOU/MOA):** See Collaborations section and Funding Preference section, as applicable
- **Organizational Chart**
- **Negotiated Indirect Cost Rate Agreement**, if applicable
- **Non-profit organization IRS status forms**, if applicable

Any additional information submitted via [www.grants.gov](http://www.grants.gov) must be uploaded in a PDF file format, and should be clearly labeled (i.e.: Letters of support should be named “letters of support”).

### 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 no later than 15 days after the publication date in [www.grants.gov](http://www.grants.gov). All Q&As will be published on the DGHA Website <http://www.cdc.gov/globalaids/global-hiv-aids-at-cdc/FOA.html>.

All changes, updates, and amendments to the FOA will be posted to [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 funding opportunity announcements can be found on Grants.gov website, at the following internet address: <http://www.grants.gov>.

## I. Glossary

**Administrative and National Policy Requirements, Additional Requirements (ARs):** outline the Administrative requirements found in 45 CFR Part 74 and Part 92 and other requirements as mandated by statute or CDC policy. CDC programs must indicate which ARs are relevant to the FOA. All ARs are listed in the template for CDC programs. Awardees must then comply with the ARs listed in the FOA. To view brief descriptions of relevant provisions 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).

**Authority:** Legal authorizations that outline the legal basis for the components of each individual FOA. An Office of Global Council (OGC) representative may assist in choosing the authorities appropriate to any given program.

**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 recipient.

**Budget Period/Year:** the duration of each individual funding period within the project period. Traditionally, budget period length is 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 forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.

**Catalog of Federal Domestic Assistance (CFDA):** A catalog published twice a year which describes domestic assistance programs administered by the federal government. This government-wide compendium of Federal programs lists projects, services, and activities which provide assistance or benefits to the American public. <https://www.cfda.gov/index?s=agency&mode=form&id=0bebbc3b3261e255dc82002b83094717&tab=programs&tabmode=list&subtab=list&subtabmode=list>

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

**CFDA Number:** The CFDA number is a unique number assigned to each program/FOA throughout its lifecycle that enables data and funding tracking and transparency.

**Competing Continuation Award:** An award of financial assistance which adds funds to a grant and extends one or more budget periods beyond the currently established project period.

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

**Contracts:** An award instrument establishing a binding legal procurement relationship between CDC and a recipient obligating the latter to furnish a product.

**Cooperative Agreement:** An award of financial assistance that is used to enter into the same kind of relationship as a grant; and is distinguished from a grant in that it provides for substantial involvement between the Federal agency and the awardee in carrying out the activity contemplated by the award.

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

**Direct Assistance:** assistance given to an applicant such as federal personnel or supplies. See [http://www.cdc.gov/stltpublichealth/GrantsFunding/direct\\_assistance.html](http://www.cdc.gov/stltpublichealth/GrantsFunding/direct_assistance.html).

**Federal Funding Accountability And Transparency Act Of 2006 (FFATA):** Requires information on Federal awards, including awards, contracts, loans, and other assistance and payments, be made available to the public on a single website, [www.USAspending.gov](http://www.USAspending.gov).

**Fiscal Year:** The year that budget dollars are allocated to fund program activities. The fiscal year starts October 1st and goes through September 30th.

**Grant:** A legal instrument used by the Federal government to enter into a relationship, the principal purpose of which is to transfer anything of value to a recipient to carry out a public purpose of support or stimulation authorized by statute. The financial assistance may be in the form of money, or property in lieu of money. The term 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 individuals. The main difference between a grant and a cooperative agreement is that there is no anticipated substantial programmatic involvement by the Federal Government under an award.

**Grants.gov:** A "storefront" web portal for use in electronic collection of data (forms and reports) for Federal grant-making agencies through the [www.grants.gov](http://www.grants.gov) site, [www.grants.gov](http://www.grants.gov).

**Health Disparities:** are differences in health outcomes and their determinants between segments of the population, as defined by social, demographic, environmental, and geographic attributes.

**Healthy People 2020:** Provides national health objectives for improving the health of all Americans by encouraging collaborations across sectors, guiding individuals toward making informed health decisions, and measuring the impact of prevention activities.

**Inclusion:** Inclusion refers to both the meaningful involvement of community members in all stages of the program process, and maximum involvement of the target population in the benefits of the intervention. An inclusive process assures that the views, perspectives, and needs of affected communities, care providers, and key partners are actively included.

**Indirect Costs:** Those costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project, program, or activity but are nevertheless necessary to the operations of the organization. For example, the costs of operating and maintaining facilities, depreciation, and administrative salaries are generally treated as indirect costs.

**International public health work:** For purposes of this template, is defined as work conducted internationally for the benefit of a foreign entity or jurisdiction.

**Lobbying:** Direct lobbying includes any attempt to influence legislation, appropriations, regulations, administrative actions or Executive Orders (“legislation or other orders”), or other similar deliberations at all levels of government through communications that directly express a view on proposed or pending legislation or other orders and which are directed to members of staff, or other employees of a legislative body or to government officials or employees who participate in the formulation of 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.

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

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

**New FOA:** Any FOA that is not a continuation or supplemental award.

**Non-Governmental Organization:** A non-governmental organization (NGO) is any non-profit, voluntary citizens' group which is organized on a local, national or international level.

**Notice of Award:** The only binding, authorizing document between the recipient and CDC confirming issue of award funding. The NoA will be signed by an authorized Grants Management Officer, and provided to the recipient fiscal officer identified in the application.

**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 individuals responsible for making award decisions.

**OGC:** Office of the General Counsel (OGC) is the legal team for the Department of Health and Human Services (HHS), providing representation and legal advice on a wide range of national issues. OGC supports the development and implementation of HHS's programs by providing legal services to the Secretary of HHS and the organization's various agencies and divisions.

**Outcome:** The observable benefits or changes for populations and/or public health capabilities that will result from a particular program strategy.

**Performance Measures:** Performance measurement is the ongoing monitoring and reporting of program accomplishments, particularly progress toward pre-established goals. It is typically conducted by program or agency management. Performance measures 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.

**Plain Writing Act of 2010:** The Plain Writing Act requires federal agencies to communicate with the public in

plain language to make information and communication more accessible and understandable by intended users, especially people with limited health literacy skills or limited English proficiency. [www.plainlanguage.gov](http://www.plainlanguage.gov)

**Procurement and Grants Office (PGO):** PGO is the only entity within CDC which can obligate federal funds. PGO provides non-programmatic management for all CDC financial assistance activities (grants and cooperative agreements) and manages and awards all CDC contracts.

**Program Strategies:** Public health interventions or public health capabilities.

**Program Official:** The person responsible for developing the FOA – whether a project officer, program manager, branch chief, division leadership, policy official, center leadership, or similar staff member.

**Project Period Outcome:** An outcome that will result by the end of the FOA period of funding.

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

**Statute:** An act of a legislature that declares, proscribes, or commands something; a specific law, expressed in writing. A statute is a written law passed by a legislature on the state or federal level. Statutes set forth general propositions of law that courts apply to specific situations.

**Statutory Authority:** A legal statute that provides the authority to establish a Federal financial assistance program or award.

**Technical Assistance:** The providing of advice, assistance, and training pertaining to the development, implementation, maintenance, and/or evaluation of programs.

**Work Plan:** The summary of annual strategies and activities, personnel and/or partners who will complete them, and the timeline for completion. The work plan will outline the details of all necessary activities that will be supported through the approved budget.