

Centers for Disease Control and Prevention

NATIONAL CENTER FOR IMMUNIZATION AND RESPIRATORY DISEASES

Understanding Adult Immunization Quality Improvement Approaches Among Adult HCP and Health Departments

RFA-IP-23-002

01/13/2023

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Overview
Participating Organization(s)

Centers for Disease Control and Prevention

Components of Participating Organizations

Components of Participating Organizations:

National Center for Immunization and Respiratory Diseases

Notice of Funding Opportunity (NOFO) Title

Understanding Adult Immunization Quality Improvement Approaches Among Adult HCP and Health Departments

Activity Code
Notice of Funding Opportunity Type

New

Agency Notice of Funding Opportunity Number

RFA-IP-23-002

Assistance Listings Number(s)

93.185

Category of Funding Activity

HL - Health

NOFO Purpose

The purpose of this Notice of Funding Opportunity (NOFO) is to investigate the following research objectives: 1) identify, implement, and compare interventions and process improvements to increase quality of immunization delivery and workflow in healthcare settings serving adult patients; and 2) develop and evaluate approaches for state, local, or territorial immunization programs to support, manage, and monitor adult immunization Quality Improvement (QI) activities across a range of adult healthcare settings. The intended outcomes are to have an increased understanding of the interaction and management structures necessary for supporting adult immunization QI initiatives among adult providers across the 64 city, state,

and territorial immunization programs and to develop interventions and technical assistance strategies that range by vaccine type, provider type, clinical setting, geographic region, and urbanicity.

Key Dates

Publication Date:

To receive notification of any changes to RFA-IP-23-002, return to the synopsis page of this announcement at www.grants.gov and click on the "Send Me Change Notification Emails" link. An email address is needed for this service.

Letter of Intent Due Date:

The LOI date will generate once the Synopsis is published if Days or a Date are entered.
12-14-2022

Application Due Date:

01/13/2023
01-13-2023

On-time submission requires that electronic applications be error-free and made available to CDC for processing from the NIH eRA system on or before the deadline date. Applications must be submitted to and validated successfully by Grants.gov no later than 11:59 PM U.S. Eastern Time.

Applicants will use a system or platform to submit their applications through Grants.gov and eRA Commons to CDC. ASSIST, an institutional system to system (S2S) solution, or Grants.gov Workspace are options. ASSIST is a commonly used platform because it provides a validation of all requirements prior to submission and prevents errors.

For more information on accessing or using ASSIST, you can refer to the ASSIST Online Help Site at: https://era.nih.gov/erahelp/assist. Additional support is available from the NIH eRA Service desk via http://grants.nih.gov/support/index.html.

- E-mail: commons@od.nih.gov
- Phone: 301-402-7469 or (toll-free) 1-866-504-9552
- Hours: Monday - Friday, 7 a.m. to 8 p.m. Eastern Time, excluding Federal holidays

Note: HHS/CDC grant submission procedures do not provide a grace period beyond the application due date time to correct any error or warning notices of noncompliance with application instructions that are identified by Grants.gov or eRA systems (i.e., error correction window).

Scientific Merit Review:
03/29/2023

Secondary Review:
05/10/2023

Estimated Start Date:
09/01/2023

Expiration Date:
01/14/2023

Required Application Instructions

It is critical that applicants follow the instructions in the How to Apply - Application Guide except where instructed to do otherwise in this NOFO. Conformance to all requirements (both in the Application Guide and the NOFO) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in Section IV. When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions.

Note: The Research Strategy component of the Research Plan is limited to 20 pages.

Page Limitations: Pages that exceed the page limits described in this NOFO will be removed and not forwarded for peer review, potentially affecting an application's score.

Applications that do not comply with these instructions may be delayed or may not be accepted for review.

Telecommunications for the Hearing Impaired: TTY 1-888-232-6348

Executive Summary

- **Purpose:** The research supported by this Notice of Funding Opportunity (NOFO) is to investigate the following research objectives: 1) identify, implement, and compare interventions and process improvements to increase quality of immunization delivery and workflow in healthcare settings serving adult patients and 2) develop and evaluate approaches for immunization programs to support, manage, and monitor adult immunization Quality Improvement (QI) activities across a range of adult healthcare settings. The intended outcomes are to have an increased understanding of the interaction and management structures necessary for supporting adult immunization QI initiatives among adult providers across the 64 city, state, and territorial immunization programs, and to develop intervention and technical assistance strategies that range by vaccine type, provider type, geographic region, and urbanicity.
- **Mechanism of Support:** U01 - Research Project - Cooperative Agreement.
- **Funds Available and Anticipated Number of Awards:** The estimated total funding available, including direct and indirect costs, for the entire three (3)-year project period is $1,500,000. The estimated number of awards is one (1). Awards issued under this NOFO are contingent upon availability of funds and a sufficient number of meritorious applications. Because the nature and scope of the proposed research will vary from application to application, it is also anticipated that the size and duration of each award may also vary. The total amount awarded, and the number of awards, will depend upon the number, quality, duration and cost of the applications received.
- **Budget and Project Period:** The estimated total funding (direct and indirect) for the first year (12-month budget period) is $500,000 with an individual award ranging from $400,000 to $500,000 for the first year. The estimated total funding (direct and indirect) for the entire project period is $1,500,000. The project period is anticipated to run from 09/1/2023 to 08/31/2026.
- **Application Research Strategy Length:** Page limits for the Research Strategy are clearly specified in Section IV. “Application and Submission Information” of this announcement.

- **Eligible Institutions/Organizations.** Institutions/organizations listed in Section III. of this announcement are eligible to apply.
- **Eligible Project Directors/Principal Investigators (PDs/PIs).** Individuals with the skills, knowledge, and resources necessary to carry out the proposed research are invited to work with their institution/organization to develop an application for support. **NOTE:** CDC does not make awards to individuals directly. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply.
- **Number of PDs/PIs.** There will only be one PD/PI for each application. If necessary, Co-PI(s) may be listed in the application but only one PI may be the primary CDC contact for the award and this must be indicated in the application.
- **Number of Applications.** Only one application per institution (normally identified by having a unique entity identifier [UEI] number) is allowed.
- **Application Type.** New.
- **Application Materials.** See Section IV.1 for application materials. Please note that SF424 (R&R) FORMS-G is to be used when completing the application package. Please see https://grants.nih.gov/grants/how-to-apply-application-guide.html

Section I. Funding Opportunity Description

Statutory Authority
Public Health Service Act, Section 317(k)(1) [42 USC 247b(k)(1)].

1. Background and Purpose

Adult vaccination coverage in the United States is low for all Advisory Committee on Immunization Practices (ACIP) recommended vaccines, with approximately 20% of adults ≥19 years of age having received all recommended vaccines and 46.1% having received influenza vaccine. Immunization Quality Improvement (QI) initiatives in pediatric healthcare settings are associated with increased vaccination coverage. Low vaccination coverage among adults presents an opportunity to create an adult immunization QI program, but more information is needed on specifics of adult immunization QI interventions and management approaches.

Immunization QI projects have primarily focused on child and adolescent populations, with a limited amount of research available for vaccines and/or health conditions specific to adults. In 2014, pilot testing of the Four Pillars toolkit demonstrated improved vaccination rates across the majority of participating sites, specifically for pneumococcal vaccination among high-risk populations and influenza vaccination. Similarly, a recent study evaluating the use of a child and adolescent AFIX (Assessment, Feedback, Incentives, and eXchange) model for adult populations observed an increase in median adult vaccination rates for selected vaccines. Nonetheless, healthcare provider (HCP) strategies to support improved practice workflow and increased adult vaccination coverage monitoring and evaluation are poorly defined.

The Vaccination Assistance Act was signed into law to support CDC mass immunization campaigns and to initiate maintenance programs. Under Section 317 of the Public Health Service Act, the Section 317 Immunization Grant Program, as the program is now known, includes 64 grantees: all 50 states, 6 cities, and 8 current and former US territories.

CDC's Immunization Quality Improvement for Providers (IQIP) program is implemented by immunization programs nationwide and offers technical assistance to providers for strategies to improve routine vaccination rates among children and adolescents; however, there is no federal QI program for adult immunizations. As such, there is no formalized structure available to support the implementation, management, or evaluation of adult immunization provider QI activities across the 64 city, state, and territorial jurisdictions. In 2020, two new Healthcare Effectiveness Data and Information Set (HEDIS) measures of adult immunization status were enacted, which could be further leveraged to support enhanced adult immunization monitoring and improvement.

The research supported by this NOFO has two primary objectives: 1) identify, implement, and compare interventions and process improvements to increase the quality of immunization delivery and workflow in healthcare settings serving adult patients; and 2) develop and evaluate approaches for public health immunization programs to support, manage, and monitor adult immunization QI activities across a range of adult healthcare setting types. The intended outcomes are increased understanding of the interaction and management structures necessary for developing adult immunization QI among adult providers in the outpatient setting across the 64 city, state, or territorial immunization programs, and to develop intervention and technical assistance strategies that range by vaccine type, provider type, geographic region, and urbanicity.

Health Equity

CDC supports efforts to improve the health of populations disproportionately affected by infectious diseases by maximizing the health impact of public health services, reducing disease incidence, and advancing health equity.

A health disparity occurs when a health outcome is seen to a greater or lesser extent between populations. Health disparities in infectious diseases are inextricably linked to a complex blend of social determinants that influence which populations are most disproportionately affected by these infections and diseases.

Social determinants are conditions in the places where people live, learn, work, and play that affect a wide range of health and quality-of life-risks and outcomes (https://www.cdc.gov/socialdeterminants/index.htm). These include conditions for early childhood development; education, employment, and work; food security, health services, housing, income, and social exclusion. Health equity is a desirable goal that entails special efforts to improve the health of those who have experienced social or economic challenges. It requires:

- Continuous efforts focused on elimination of health disparities, including disparities in health and in the living and working conditions that influence health, and
- Continuous efforts to maintain a desired state of equity after health disparities are eliminated.

Applicants should use data, including social determinants data, to identify communities within their jurisdictions that are disproportionately affected by infectious diseases and

related diseases and conditions, and plan activities to help eliminate health disparities. In collaboration with partners and appropriate sectors of the community, applicants should consider social determinants of health in the development, implementation, and evaluation of specific efforts and use culturally appropriate interventions and strategies that are tailored for the communities for which they are intended.

Healthy People 2030 and other National Strategic Priorities

- IID-09: Increase the proportion of people who get the flu vaccine every year
- IID-D01: Increase the proportion of women who get the Tdap vaccine during pregnancy
- IID-D02: Increase the proportion of people with vaccination records in an information system
- IID- D03: Increase the proportion of adults age 19 years or older who get recommended vaccines

This NOFO will directly support each of the HP 2030 focus areas listed above by increasing access to adult immunization via enhanced healthcare provider interactions with adult patients and increased use of Immunization Information Systems (IIS) reporting.

This NOFO will also support the public health priorities of improving adult immunization, particularly among priority populations which include: 1) racial and ethnic minority populations; 2) pregnant persons; 3) rural communities; and 4) adults with chronic medical conditions.

Public Health Impact

This NOFO supports research that addresses long-standing knowledge gaps and inequities in QI activities for adult vaccination. Implementation of an evidence-based QI program for immunization that integrates adult-specific strategies across healthcare provider settings is necessary for increasing access and uptake of immunizations across the lifespan. Improved immunization coverage among adults is a public health priority and should result in decreased morbidity and mortality throughout the U.S.

Relevant Work

1. Lu, P. J., Hung, M. C., Srivastav, A., Grohskopf, L. A., Kobayashi, M., Harris, A. M., *et al.* (2021). Surveillance of vaccination coverage among adult populations—United States, 2018. *MMWR Surveillance Summaries*, *70*(3), 1. https://www.cdc.gov/mmwr/volumes/70/ss/ss7003a1.htm
2. Nowalk, M. P., Nolan, B. A., Nutini, J., Ahmed, F., Albert, S. M., Susick, M., and Zimmerman, R. K. (2014). Success of the 4 pillars toolkit for influenza and pneumococcal vaccination in adults. *Journal for Healthcare Quality*, *36*(6), 5-15.
3. Borchardt, S. M., Mitchell, K., Larson, T., Ehlers, E., & Schauer, S. L. (2021). Applying the AFIX Quality Improvement Model to Increase Adult Immunization in Wisconsin. *Public Health Reports*, *136*(5), 603-608.
4. Adult Immunization Status – NCQA. https://www.ncqa.org/hedis/measures/adult-immunization-status/
5. Prenatal Immunization Status - NCQA. https://www.ncqa.org/hedis/measures/prenatal-immunization-status/

6. Byron, S. C., Roth, L., Acton, R. M., and Shen, A. (2021). Harnessing electronic clinical data to report adult and prenatal immunization quality measures. *Journal of the American Medical Informatics Association*, *28*(10), 2226-2232.
7. (IQIP) Immunization Quality Improvement for Providers. https://www.cdc.gov/vaccines/programs/iqip/index.html
8. Community Preventive Services Task Force. The Community Guide: Increasing appropriate vaccination—provider assessment and feedback. https://www.thecommunityguide.org/vaccines/RRproviderassessment.html
9. Healthy People 2030. Vaccination (General) and Infectious Disease. https://health.gov/healthypeople/objectives-and-data/browse-objectives/vaccination
10. Epidemiology and Prevention of Vaccine-Preventable Diseases, The Pink Book: Course Textbook -14th Edition (2021) https://www.cdc.gov/vaccines/pubs/pinkbook/index.html

2. Approach

A multi-phase project approach, as outlined in this NOFO, should provide information necessary to inform an evidence-based QI pilot program for adult vaccination. In addition to identifying adult immunization-specific QI strategies, the information collected from this study should contribute valuable insights on program management structures and technical assistance needs for operationalizing and supporting adult immunization QI programs across the 64 city, state, and territorial jurisdictions.
Applicant organizations should collaborate and partner with one or more of the 64 public health Immunization Program jurisdictions as sub-award recipients.

The proposed study should include three (3) phases:

Phase 1: Improve current understanding of existing provider adult QI activities

The application should describe an approach to conduct an initial comprehensive review of existing adult immunization QI activities; e.g., site visit strategies, metrics used to measure impact of QI interventions, use of adult immunization composite measures (i.e., for measuring coverage), characteristics of QI coaches (i.e., the site visitors), adult populations targeted, vaccines promoted, and recommended interventions by provider type and site. The application should describe methods for conducting:

- Literature review of available QI resources, including research manuscripts, grey literature, existing immunization measures (including composite coverage measures), and program materials.
- Listening sessions, key informant interviews, and focus groups with adult immunization stakeholders (e.g., public health immunization programs, healthcare systems, adult providers, etc.) to collect data on existing adult QI programs and/or AFIX (Assessment, Feedback, Incentives, and eXchange) projects to:
    - Understand adult vaccination-specific QI issues related to IIS reporting, and assess provider site coverage and other vaccination metrics and provider workflows, including communication among provider staff and with patients.

- Determine best practices for adult immunization QI interventions across a variety of healthcare settings.

Phase 2: Pilot intervention for adult immunization QI program

Following completion of the Phase 1 review of existing adult provider QI activities, the recipient should work with one or more of the 64 public health Immunization Program jurisdictions as sub-award recipient(s) to develop and implement pilot adult immunization QI program intervention(s). The application should describe the anticipated QI framework and implementation plan for the following activities (at a minimum):

- The sub-award recipient(s) should work with selected clinical settings to support structured observations and analyses (e.g., root-cause, plan-do-study-act, time-motion) of current clinical care and adult vaccination workflow to determine QI strategies, IIS capabilities, and process measures.
- The recipient should develop pilot adult immunization QI intervention protocols for each clinical setting type selected to participate in the pilot program. Note, protocols should ideally integrate findings and best practices identified in Phase 1, clinical setting assessment results, and current IQIP strategies.

Given pilot interventions will be dependent on findings from Phase 1, and individual clinical setting assessments conducted by the sub-award recipient(s), the application should include in the initial workplan the timeline for meeting these objectives to ensure QI pilots are implemented by year 2 of the project period. Additionally, the recipient should produce an updated and refined pilot adult immunization QI protocol(s) and implementation plan following completion of Phase 2 activities.

Phase 3: Monitor, evaluate, and support adult immunization QI program pilot interventions

The application should describe the development of an evaluation plan for monitoring sub-award recipient(s) pilot adult immunization QI program interventions conducted over a 12-month period. The evaluation plan should describe (at a minimum):

- Program implementation metrics (e.g., staff number, site visit/call frequencies, etc.), data collection methods, and planned analysis for measuring the impact of interventions on adult vaccine delivery and coverage.
- Methods for monitoring pilot adult immunization QI interventions, providing feedback and technical assistance, and steps for evaluating program management structures and quality of support provided.
- Program process measures for evaluating facility improvements (e.g., workflow, implementation of the Adult Immunization Practice Standards, etc.).
- Methods for collecting, aggregating, and analyzing clinic-level immunization coverage and change in coverage over time.
- Cost analysis plan inclusive of relevant costs for implementing the improved protocols (e.g., staff salaries, operational costs, toll and/or resource development, etc.).

The application should describe plans for developing and producing the following:

- Workplan describing the project approach for Phases 1, 2, and 3, including anticipated adult immunization QI framework (Phase 2), implementation plan (Phase 2), and evaluation plan (Phase 3).
- Initial evaluation plan for monitoring, evaluating, and supporting Phase 2 pilot interventions.
- Interim report summarizing Phase 1 findings.
- Updated implementation and evaluation plans, following identification of Phase 2 pilot interventions.
- Final report summarizing study findings and impact.
- Implementation toolkit(s) for adult providers implementing QI in their facilities.
- Implementation toolkit(s) for public health immunization programs managing adult provider QI programs (applicable for use in either a formal adult immunization program network setting or for adult provider QI programs managed directly by the public health immunization program).

Additional Study Details:
The application should also include the following (at a minimum): jurisdiction/site recruitment strategy, jurisdiction/site selection process, and timeline of activities.

The findings from this study are intended to be applicable to all 64 city, state, and territorial immunization program jurisdictions; therefore, the following conditions should also be considered throughout the research plan development process:

- The study should be conducted within one or more city, state, or territorial immunization program jurisdiction(s) and in at least three (3) of the clinical settings listed below (there can be more than one from each setting type), to be determined by the applicant and sub-award recipient(s). Note, additional clinical setting types may be included:
    - Family Medical Practice
    - Internal Medical Practice
    - Obstetrics/Gynecology (OB/GYN) Medical Practice (including prenatal clinics)
    - Federally Qualified Health Centers (FQHCs)
    - Rural Health Centers (RHCs)
    - University-based Medical Centers
- The study should engage with a variety of provider types within each selected clinical setting, as applicable. Note, additional provider types may be included:
    - Doctor of Medicine (MD, DO)
    - Nurse Practitioners (NPs)
    - Certified Nurse-Midwives (CNMs)
    - Physician Assistants (PAs)
- The study jurisdiction and the scope of vaccine provider service in that jurisdiction should include urban and/or rural settings.
- Study organizers should prioritize recruitment of provider locations with:

- Qualified physicians who are currently caring for and providing vaccinations for adult patients.
- Experience implementing immunization QI activities (e.g., participation in Vaccines for Children [VFC] IQIP Program).
- Current (or planned) use of Section 317 vaccine allocations from the jurisdiction's immunization program.

- The proposed budget, personnel, timeline, and other technical and logistic details should be sufficient to complete the study objectives for all three study phases. When planning implementation strategies, applicants are encouraged to focus on pragmatic methods that could be adopted and maintained widely across jurisdictions (e.g., cities, states, and territories).

Objectives/Outcomes

This NOFO has two primary research objectives:

1. Identify, implement, and compare interventions and process improvements to increase quality of immunization delivery and workflow in healthcare settings serving adult patients.
2. Develop and evaluate approaches for public health immunization programs to support, manage, and monitor adult immunization QI activities across a range of adult healthcare settings.

The intended outcomes of the research from this notice of funding opportunity are:

1. Increased understanding of the interaction and management structures necessary for supporting adult immunization QI initiatives among adult providers across the 64 city, state, and territorial immunization programs.
2. Increased number of adult-specific QI intervention and technical assistance strategies that range by vaccine type, provider type, geographic region, and urbanicity.
3. Increased support for QI site coordinators among adult providers, including technical assistance materials.
4. Increased understanding of metrics suitable for measuring impact of adult QI on adult vaccination coverage rates.
5. Increased routine vaccination rates among adult patients served by providers participating in the QI intervention.

Target Population

Applicants should partner with one or more public health immunization programs to accomplish research study objectives. The target audience for this project should be providers from city, state, or territorial jurisdictions that: 1) may or may not be enrolled in a QI program; 2) are among the four preferred clinical setting types (Family Medical Practice, OB/GYN Medical Practice, FQHCs, RHCs); 3) serve a priority population (racial and ethnic minority populations, pregnant persons, rural communities, adults with chronic medical conditions); and 4) use (or plan to use) Section 317 vaccine allocations during the study period. All providers should serve adult populations and have systems in place to administer ACIP-recommended routine adult vaccines.

Collaboration/Partnerships

Applicant organizations should collaborate and partner with one or more of the 64 public health Immunization Program jurisdictions. Additionally, collaboration or partnership with the following adult immunization stakeholders would support completion of Phase 1 (as described above):

- American Academy of Pediatrics (AAP)
- American Academy of Family Physicians (AAFP)
- Advisory Committee of Immunization Practices (ACIP)
- American College of Obstetricians and Gynecologists (ACOG)
- Agency for Healthcare Research and Quality (AHRQ)
- Association of Immunization Managers (AIM)
- American Immunization Registry Association (AIRA)
- American Medical Association (AMA)
- Centers for Medicare and Medicaid Services (CMS)
- State level health information exchanges (HIEs)
- National Quality Forum (NQF)
- State level quality improvement organization (QIOs)

Evaluation/Performance Measurement
The application should include measurable goals and aims based on a three (3)-year research project period. The application should describe specific, measurable, achievable, realistic and time-phased (SMART) project objectives for each activity described in the application's project plan and describe the development and implementation of project performance measures based on specific programmatic objectives.

The application should include in the evaluation plan the methods and anticipated outputs, measures, or metrics necessary for assessing identified outcomes and include (at a minimum):

Methods:

- Collecting, aggregating, and analyzing clinic-level data on immunization coverage and change in coverage over time.
- Identifying core adult immunization QI strategies (e.g., site visit strategies, workflow, adult population specific priorities, interventions, vaccine delivery, training, etc.).
- Providing assessment and feedback to public health immunization programs supporting facilities with implementation of pilot interventions.
- Monitoring adult immunization QI pilot interventions, providing feedback and technical assistance, and steps for evaluating program management structures and quality of support provided.
- Supporting cost analysis plan inclusive of relevant costs for implementing the improved protocols (e.g., staff salaries, operational costs, toll and/or resource development, etc.).

Measures:

- Measure: Number of provider staff necessary to successfully operationalize an adult QI program, by facility and provider type.

- Measure: Number of immunization program staff necessary to successfully operationalize an adult QI program.
- Measure: Number and percentage of phone, webinar, and in-person site visits conducted during the study period.
- Process measures for evaluating facility improvements (e.g., adult immunization workflow, implementation of the Standards for Adult Immunization Practice, etc.):
    - Percent of patients assessed for vaccination needs by provider type, setting type, and other patient factors.
    - Percent of patients who received a strong recommendation for needed vaccinations by provider type, setting type, and other patient factors.
    - Percent of patients who were administered needed vaccinations during office visit by provider type, setting type, and other patient factors.
    - Percent of patients and number of administered vaccinations documented/reported to the jurisdiction's immunization information system.
- Provider QI metrics to measure impact of pilot program on adult vaccine delivery, including before-and-after measures of vaccination coverage.

Translation Plan

The application should include a translation plan that describes how the significant findings resulting from this study may be used to promote, enhance, or advance translation of the research to practice, or to inform policy (e.g., development of toolkits, protocols, guides, training material that support QI activity implementation, technical assistance, and evaluation). The application should identify which research findings may be translated, how these findings can guide future research or related activities, and recommendations for translation. This section should be understandable to a variety of audiences, including policy makers, practitioners, public health programs, healthcare institutions, professional organizations, community groups, researchers, and other potential users.

The application should also describe how findings from the initial study will be disseminated via manuscripts prepared for publication in relevant scientific, peer-reviewed journals and for presentations made at relevant scientific meetings. Options may include epidemiologic, public health, economics, health services, and medical decision-making venues.

3. Funding Strategy

N/A

Section II. Award Information

Funding Instrument Type:

CA (Cooperative Agreement)

A support mechanism used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.

Application Types Allowed:

New - An application that is submitted for funding for the first time. Includes multiple submission attempts within the same round.

Estimated Total Funding:
$1,500,000
Estimated Total Funding: $1,500,000
Estimated Total Annual Budget Period Funding:

Year 1: $500,000
Year 2: $500,000
Year 3: $500,000

Estimated total funding available for the first year (first 12 months), including direct and indirect costs: $500,000
Estimated total funding available for the entire project period, including direct and indirect costs: $1,500,000

Anticipated Number of Awards:
1
Awards issued under this NOFO are contingent on the availability of funds and submission of a sufficient number of meritorious applications.

Award Ceiling:
$500,000
Per Budget Period

Award Floor:
$400,000
Per Budget Period

Total Period of Performance Length:
3 year(s)

Throughout the Period of Performance, CDC's commitment to continuation of awards will depend on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and CDC’s determination that continued funding is in the best interest of the Federal government.

HHS/CDC grants policies as described in the HHS Grants Policy Statement (https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf) will apply to the applications submitted and awards made in response to this NOFO.
If you are successful and receive a Notice of Award, in accepting the award, you agree that the award and any activities thereunder are subject to all provisions of 45 CFR Part 75, currently in

effect or implemented during the period of the award, other Department regulations and policies in effect at the time of the award, and applicable statutory provisions.

Section III. Eligibility Information

1. Eligible Applicants

Eligibility Category:
00 (State governments)

01 (County governments)

02 (City or township governments)

04 (Special district governments)

05 (Independent school districts)

06 (Public and State controlled institutions of higher education)

07 (Native American tribal governments (Federally recognized))

08 (Public housing authorities/Indian housing authorities)

11 (Native American tribal organizations (other than Federally recognized tribal governments))

12 (Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education)

13 (Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education)

25 (Others (see text field entitled "Additional Information on Eligibility" for clarification))

2. Foreign Organizations

Foreign Organizations **are not** eligible to apply.

Foreign components of U.S. Organizations are not eligible to apply.

For this announcement, applicants may not include collaborators or consultants from foreign institutions. All applicable federal laws and policies apply.

3. Additional Information on Eligibility

- The following types of Higher Education Institutions are always encouraged to apply for CDC support as Nonprofit Public or Non-Profit Private Institutions of Higher Education:
    - Hispanic-serving Institutions
    - Historically Black Colleges and Universities (HBCUs)
    - Tribally Controlled Colleges and Universities (TCCUs)
    - Alaska Native and Native Hawaiian Serving Institutions
- Nonprofits (Other than Institutions of Higher Education)
- Nonprofit Private Institutions of Higher Education

The following non-profit organizations are also eligible to apply:

- Eligible Agencies of the Federal Government
- Faith-based or Community-based Organizations
- U.S. Territory or Possession
- Regional Organizations
- Bona Fide Agents: A Bona Fide Agent is an agency/organization identified by the state as eligible to submit an application under the state eligibility in lieu of a state application. If applying as a bona fide agent of a state or local government, a legal, binding agreement from the state or local government as documentation of the status is required. Attach with "Other Attachment Forms" when submitting via https://www.grants.gov
- Federally Funded Research and Development Centers (FFRDCs): FFRDCs are operated, managed, and/or administered by a university or consortium of universities, other not-for-profit or nonprofit organization, or an industrial firm, as an autonomous organization or as an identifiable separate operating unit of a parent organization. A FFRDC meets some special long-term research or development need which cannot be met as effectively by an agency's existing in-house or contractor resources. FFRDC's enable agencies to use private sector resources to accomplish tasks that are integral to the mission and operation of the sponsoring agency. For more information on FFRDCs, go to https://gov.ecfr.io/cgi-bin/searchECFR

4. Justification for Less than Maximum Competition

N/A

5. Responsiveness

If an applicant requests a funding amount greater than the ceiling for the first budget period as indicated in Section II. of this NOFO, HHS/CDC will consider the application non-responsive and it will not enter into the review process. HHS/CDC will notify the applicant that the application did not meet the submission requirements. The proposed total costs for the first 12-month budget period cannot exceed $500,000 in total costs (direct and indirect). Applications whose proposed total costs for the first 12-month budget period exceed $500,000 in total costs, as evidenced by SF424 (R&R) Budget Period 1 Section K, Total Costs and Fee, will be considered nonresponsive and will not be forwarded for peer review.

6. Required Registrations

Applicant organizations must complete the following registrations as described in the SF 424 (R&R) Application Guide to be eligible to apply for or receive an award. Applicants must have a valid Unique Entity Identifier (UEI) number in order to begin each of the following registrations.

PLEASE NOTE: Effective April 4, 2022, applicants must have a Unique Entity Identifier (UEI) at the time of application submission. The UEI replaced the Data Universal Numbering System (DUNS) and is generated as part of SAM.gov registration. Current SAM.gov registrants have already been assigned their UEI and can view it in SAM.gov and Grants.gov. Additional information is available on the GSA website, SAM.gov, and Grants.gov-Finding the UEI.

- (Foreign entities only): Special Instructions for acquiring a Commercial and Governmental Entity (NCAGE) Code: NCAGE Tool / Products / NCS Help Center (nato.int).
- System for Award Management (SAM) – must maintain current registration in SAM (the replacement system for the Central Contractor Registration) to be renewed annually, SAM.gov.
- Grants.gov
- eRA Commons

All applicant organizations must register with Grants.gov. Please visit www.Grants.gov at least 30 days prior to submitting your application to familiarize yourself with the registration and submission processes. The one-time registration process will take three to five days to complete. However, it is best to start the registration process at least two weeks prior to application submission.

All Senior/Key Personnel (including Program Directors/Principal Investigators (PD/PIs) must also work with their institutional officials to register with the eRA Commons or ensure their existing Principal Investigator (PD/PI) eRA Commons account is affiliated with the eRA commons account of the applicant organization. All registrations must be successfully completed and active before the application due date. Applicant organizations are strongly encouraged to start the eRA Commons registration process at least four (4) weeks prior to the application due date. ASSIST requires that applicant users have an active eRA Commons account in order to prepare an application. It also requires that the applicant organization's Signing Official have an active eRA Commons Signing Official account in order to initiate the submission process. During the submission process, ASSIST will prompt the Signing Official to enter their Grants.gov Authorized Organizational Representative (AOR) credentials in order to complete the submission, therefore the applicant organization must ensure that their Grants.gov AOR credentials are active.

7. Universal Identifier Requirements and System for Award Management (SAM)

All applicant organizations **must obtain** a Unique Entity Identifier (UEI) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The UEI number is a twelve-digit number assigned by SAM.gov. An AOR should be consulted to determine the appropriate number. If the organization does not have a UEI number, an AOR should register through SAM.gov. Note this is an organizational number. Individual Program Directors/Principal Investigators do not need to register for a UEI number.

Additionally, organizations must maintain the registration with current information at all times during which it has an application under consideration for funding by CDC and, if an award is made, until a final financial report is submitted or the final payment is received, whichever is later.

SAM.gov is the primary registrant database for the Federal government and is the repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at SAM.gov and the SAM.gov Knowledge Base.

If an award is granted, the recipient organization **must** notify potential sub-recipients that no organization may receive a subaward under the grant unless the organization has provided its UEI number to the recipient organization.

8. Eligible Individuals (Project Director/Principal Investigator) in Organizations/Institutions

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the Project Director/Principal Investigator (PD/PI) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for HHS/CDC support.

9. Cost Sharing

This NOFO does not require cost sharing as defined in the HHS Grants Policy Statement (http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf).

10. Number of Applications

As defined in the HHS Grants Policy Statement, (https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf), applications received in response to the same Notice of Funding Opportunity generally are scored individually and then ranked with other applications under peer review in their order of relative programmatic, technical, or scientific merit. HHS/CDC will not accept any application in response to this NOFO that is essentially the same as one currently pending initial peer review unless the applicant withdraws the pending application.

Only one application per institution (normally identified by having a unique entity identifier [UEI] number) is allowed.

Section IV. Application and Submission Information

1. Address to Request Application Package

Applicants will use a system or platform to submit their applications through Grants.gov and eRA Commons to CDC. ASSIST, an institutional system to system (S2S) solution, or Grants.gov Workspace are options. ASSIST is a commonly used platform because, unlike other platforms, it provides a validation of all requirements prior to submission and prevents errors.

To use ASSIST, applicants must visit https://public.era.nih.gov where you can login using your eRA Commons credentials, and enter the Notice of Funding Opportunity Number to initiate the application, and begin the application preparation process.

If you experience problems accessing or using ASSIST, you can refer to the ASSIST Online Help Site at: https://era.nih.gov/erahelp/assist. Additional support is available from the NIH eRA Service desk via: http://grants.nih.gov/support/index.html

- Email: commons@od.nih.gov

- Phone: 301-402-7469 or (toll-free) 1-866-504-9552.
  Hours: Monday - Friday, 7 a.m. to 8 p.m. Eastern Time, excluding Federal holidays.

2. Content and Form of Application Submission

Applicants must use FORMS-G application packages for due dates on or before January 24, 2023 and must use FORMS-H application packages for due dates on or after January 25, 2023.

Application guides for FORMS-G and FORMS-H application packages are posted to the How to Apply - Application Guide page.

It is critical that applicants follow the instructions in the SF-424 (R&R) Application Guide How to Apply - Application Guide except where instructed in this Notice of Funding Opportunity to do otherwise. Conformance to the requirements in the Application Guide is required and strictly enforced. Applications that are out of compliance with these instructions may be delayed or not accepted for review. The package associated with this NOFO includes all applicable mandatory and optional forms. Please note that some forms marked optional in the application package are required for submission of applications for this NOFO. Follow the instructions in the SF-424 (R&R) Application Guide to ensure you complete all appropriate "optional" components.

When using ASSIST, all mandatory forms will appear as separate tabs at the top of the Application Information screen; applicants may add optional forms available for the NOFO by selecting the Add Optional Form button in the left navigation panel.

Please use the form and instructions for SF424 (R&R) FORMS-G.

Letters of Support from partners or other organizations should be placed in the PHS 398 Research Plan "Other Research Plan Section" of the application under "9. Letters of Support".

Please include all of the eight (8) mandatory forms listed below in the application package:

Mandatory

1. SF424(R&R);
2. PHS 398 Cover Page Supplement;
3. Research and Related Other Project Information;
4. Project/Performance Site Location(s);
5. Research and Related Senior/Key Person Profile (Expanded);
6. Research and Related Budget;
7. PHS 398 Research Plan;
8. PHS Human Subjects and Clinical Trials Information.

If multiple collaborating institutions will be involved, please include in this section of the application your single IRB (sIRB) Plan:

- Describe how you will comply with the single IRB review requirement under the Revised Common Rule at 45 CFR 46.114 (b) (cooperative research). If available, provide the name of the IRB that you anticipate will serve as the sIRB of record.
- Indicate that all identified engaged institutions or participating sites will agree to rely on the proposed sIRB and that any institutions or sites added after award will rely on the sIRB.
- Briefly describe how communication between institutions and the sIRB will be handled.
- Indicate that all engaged institutions or participating sites will, prior to initiating the study, sign an authorization/reliance agreement that will clarify the roles and responsibilities of the sIRB and participating sites.
- Indicate which institution or entity will maintain records of the authorization/reliance agreements and of the communication plan.
- Note: Do not include the authorization/reliance agreement(s) or the communication plan(s) documents in your application.
- Note: If you anticipate research involving human subjects but cannot describe the study at the time of application, include information regarding how the study will comply with the single Institutional Review Board (sIRB) requirement prior to initiating any multi-site study in the delayed onset study justification.

Please include the one (1) optional form listed below, if applicable, in the application package:

Optional

1. R&R Subaward Budget Attachment(s) Form 5 YR 30 ATT.

3. Letter of Intent

Due Date for Letter Of Intent 12/14/2022

12/14/2022
Although a letter of intent is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows CDC staff to estimate the potential review workload and plan the review.

By the date listed in Part 1. "Overview Information", prospective applicants are asked to submit a letter of intent that includes the following information:

Name of the applicant organization
Descriptive title of proposed research
Name, address, and telephone number of the PD(s)/PI(s)
Names of other key personnel
Participating institutions
Number and title of this notice of funding opportunity

The letter of intent should be sent to:
Gregory Anderson, MPH, MS
Extramural Research Program Office

Office of the Associate Director of Science
National Center for HIV, Viral Hepatitis, STD and TB Prevention
Centers for Disease Control and Prevention
U.S. Department of Health and Human Services
1600 Clifton Road, MS US8-1
Atlanta, GA 30329
Telephone: 404-718-8833
Email: GAnderson@cdc.gov

4. Required and Optional Components

A complete application has many components, both required and optional. The forms package associated with this NOFO in Grants.gov includes all applicable components for this NOFO, required and optional. In ASSIST, all required and optional forms will appear as separate tabs at the top of the Application Information screen.

5. PHS 398 Research Plan Component

The SF424 (R&R) Application Guide includes instructions for applicants to complete a PHS 398 Research Plan that consists of components. Not all components of the Research Plan apply to all Notices of Funding Opportunities (NOFOs). Specifically, some of the following components are for Resubmissions or Revisions only. See the SF 424 (R&R) Application Guide at How to Apply - Application Guide for additional information. Please attach applicable sections of the following Research Plan components as directed in Part 2, Section 1 (Notice of Funding Opportunity Description).

Follow the page limits stated in the SF 424 unless otherwise specified in the NOFO. As applicable to and specified in the NOFO, the application should include the bolded headers in this section and should address activities to be conducted over the course of the entire project, including but not limited to:

1. **Introduction to Application** (for Resubmission and Revision ONLY) - provide a clear description about the purpose of the proposed research and how it addresses the specific requirements of the NOFO.
2. **Specific Aims** – state the problem the proposed research addresses and how it will result in public health impact and improvements in population health.
3. **Research Strategy** – the research strategy should be organized under 3 headings: Significance, Innovation and Approach. Describe the proposed research plan, including staffing and time line.
4. **Progress Report Publication List** (for Continuation ONLY)

Other Research Plan Sections

5. **Vertebrate Animals**
6. **Select Agent Research**
7. **Multiple PD/PI Leadership Plan.**
8. **Consortium/Contractual Arrangements**
9. **Letters of Support**

10. **Resource Sharing Plan(s)**
11. **Authentication of Key Biological and/or Chemical Resources**
12. **Appendix**

All instructions in the SF424 (R&R) Application Guide at How to Apply - Application Guide must be followed along with any additional instructions provided in the NOFO.

Applicants that plan to collect public health data must submit a Data Management Plan (DMP) in the Resource Sharing Plan section of the PHS 398 Research Plan Component of the application. A DMP is required for each collection of public health data proposed. Applicants who contend that the public health data they collect or create are not appropriate for release must justify that contention in the DMP submitted with their application for CDC funds.

The DMP may be outlined in a narrative format or as a checklist but, at a minimum, should include:

- A description of the data to be collected or generated in the proposed project;
- Standards to be used for the collected or generated data;
- Mechanisms for, or limitations to, providing access to and sharing of the data (include a description of provisions for the protection of privacy, confidentiality, security, intellectual property, or other rights - this section should address access to identifiable and de-identified data);
- Statement of the use of data standards that ensure all released data have appropriate documentation that describes the method of collection, what the data represent, and potential limitations for use; and
- Plans for archiving and long-term preservation of the data, or explaining why long-term preservation and access are not justified (this section should address archiving and preservation of identifiable and deidentified data).

CDC OMB approved templates may be used (e.g. NCCDPHP template https://www.cdc.gov/chronicdisease/pdf/nofo/DMP-Template-508.docx)

Other examples of DMPs may be found here: USGS, http://www.usgs.gov//products/data-and-tools/data-management/data-management-plans

Applicants must use FORMS-G application packages for due dates on or before January 24, 2023 and must use FORMS-H application packages for due dates on or after January 25, 2023.

Application guides for FORMS-G and FORMS-H application packages are posted to the How to Apply - Application Guide page.

Please use the form and instructions for SF424 (R&R) FORMS-G.

Letters of Support from partners or other organizations should be placed in the PHS 398

Research Plan "Other Research Plan Section" of the application under "9. Letters of Support".

Please note: According to the Additional Requirement-25 (AR-25) (https://www.cdc.gov/grants/additional-requirements/ar-25.html), investigators who plan to collect public health data must submit a Data Management Plan (DMP) in the Resource Sharing Plan section of the PHS 398 Research Plan Component of the application as follows. The DMP must describe how investigators will make data readily available. Investigators who contend that the public health data they collect or create are not appropriate for release must justify that contention in the DMP submitted with their application for CDC funds. A Data Management Plan (DMP) is required for each collection of public health data proposed. The DMP may be outlined in a narrative format or as a checklist but, at a minimum, should include **the following five elements**:

- A description of the data to be collected or generated in the proposed project.
- Standards to be used for the collected or generated data.
- Mechanisms for, or limitations to, providing access to and sharing of the data (include a description of provisions for the protection of privacy, confidentiality, security, intellectual property, or other rights - this section should address access to identifiable and de-identified data).
- Statement of the use of data standards that ensure all released data have appropriate documentation that describes the method of collection, what the data represent, and potential limitations for use.
- Plans for archiving and long-term preservation of the data or explaining why long-term preservation and access are not justified (this section should address archiving and preservation of identifiable and de-identified data).

Examples of DMPs may be found here: USGS, http://www.usgs.gov//products/data-and-tools/data-management/data-management-plans

6. Appendix

Do not use the appendix to circumvent page limits. A maximum of 10 PDF documents are allowed in the appendix. Additionally, up to 3 publications may be included that are not publicly available. Follow all instructions for the Appendix as described in the SF424 (R&R) Application Guide.

PLEASE NOTE: If applications go beyond the page limit designated for a given section, excess pages will be removed from the application prior to peer review and may negatively affect the application's scoring.

7. Page Limitations

All page limitations described in this individual NOFO must be followed. For this specific NOFO, the Research Strategy component of the Research Plan narrative is limited to 20 pages. Supporting materials for the Research Plan narrative included as appendices may not exceed 10 PDF files with a maximum of 25 pages for all appendices. Pages that exceed page limits described in this NOFO will be removed and not forwarded for peer review, potentially affecting an application's score.

8. Format for Attachments

Designed to maximize system-conducted validations, multiple separate attachments are required for a complete application. When the application is received by the agency, all submitted forms and all separate attachments are combined into a single document that is used by peer reviewers and agency staff. Applicants should ensure that all attachments are uploaded to the system.

CDC requires all text attachments to the Adobe application forms be submitted as PDFs and that all text attachments conform to the agency-specific formatting requirements noted in the SF424 (R&R) Application Guide at .How to Apply - Application Guide.

Applicants must use FORMS-G application packages for due date on or before January 24, 2023 and must use FORMS-H application packages for due dates on or after January 25, 2023.

Application guides for FORMS-G and FORMS-H application packages are posted to the How to Apply - Application Guide page.

Please use the form and instructions for SF424 (R&R) FORMS-G.

9. Submission Dates & Times

Part I. Overview Information contains information about Key Dates. Applicants are strongly encouraged to allocate additional time and submit in advance of the deadline to ensure they have time to make any corrections that might be necessary for successful submission. This includes the time necessary to complete the application resubmission process that may be necessary, if errors are identified during validation by Grants.gov and the NIH eRA systems. The application package is not complete until it has passed the Grants.gov and NIH eRA Commons submission and validation processes. Applicants will use a platform or system to submit applications.

ASSIST is a commonly used platform because it provides a validation of all requirements prior to submission. If ASSIST detects errors, then the applicant must correct errors before their application can be submitted. Applicants should view their applications in ASSIST after submission to ensure accurate and successful submission through Grants.gov. If the submission is not successful and post-submission errors are found, then those errors must be corrected and the application must be resubmitted in ASSIST.

Applicants are able to access, view, and track the status of their applications in the eRA Commons.

Information on the submission process is provided in the SF-424 (R&R) Application Guidance and ASSIST User Guide at https://era.nih.gov/files/ASSIST_user_guide.pdf.

Note: HHS/CDC grant submission procedures do not provide a grace period beyond the grant application due date time to correct any error or warning notices of noncompliance with application instructions that are identified by Grants.gov or eRA systems (i.e., error correction window).

Applicants who encounter problems when submitting their applications must attempt to resolve them by contacting the NIH eRA Service desk at:
Toll-free: 1-866-504-9552; Phone: 301-402-7469

http://grants.nih.gov/support/index.html
Hours: Mon-Fri, 7 a.m. to 8 p.m. Eastern Time (closed on Federal holidays)

Problems with Grants.gov can be resolved by contacting the Grants.gov Contact Center at:
Toll-free: 1-800-518-4726
https://www.grants.gov/web/grants/support.html
support@grants.gov
Hours: 24 hours a day, 7 days a week; closed on Federal holidays

It is important that applicants complete the application submission process well in advance of the due date time.

After submission of your application package, applicants will receive a "submission receipt" email generated by Grants.gov. Grants.gov will then generate a second e-mail message to applicants which will either validate or reject their submitted application package. A third and final e-mail message is generated once the applicant's application package has passed validation and the grantor agency has confirmed receipt of the application.

Unsuccessful Submissions: If an application submission was unsuccessful, the **applicant** must:

1. Track submission and verify the submission status (tracking should be done initially regardless of rejection or success).

    a. If the status states "rejected," be sure to save time stamped, documented rejection notices, and do #2a or #2b

2. Check emails from both Grants.gov and NIH eRA Commons for rejection notices.

    a. If the deadline has passed, he/she should email the Grants Management contact listed in the Agency Contacts section of this announcement explaining why the submission failed.

    b. If there is time before the deadline, correct the problem(s) and resubmit as soon as possible.

Due Date for Applications 01/13/2023

01/13/2023
Electronically submitted applications must be submitted no later than 11:59 p.m., ET, on the listed application due date.

10. Funding Restrictions

Expanded Authority:

For more information on expanded authority and pre-award costs, go to https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf and speak to your GMS.

All HHS/CDC awards are subject to the federal regulations, in 45 CFR Part 75, terms and conditions, and other requirements described in the HHS Grants Policy Statement. Pre-award costs may be allowable as an expanded authority, but only if authorized by CDC.

Public Health Data:

CDC requires that mechanisms for, and cost of, public health data sharing be included in grants, cooperative agreements, and contracts. The cost of sharing or archiving public health data may also be included as part of the total budget requested for first-time or continuation awards.

Data Management Plan:

Fulfilling the data-sharing requirement must be documented in a Data Management Plan (DMP) that is developed during the project planning phase prior to the initiation of generating or collecting public health data and must be included in the Resource Sharing Plan(s) section of the PHS398 Research Plan Component of the application.

Applicants who contend that the public health data they collect or create are not appropriate for release must justify that contention in the DMP submitted with their application for CDC funds (for example, privacy and confidentiality considerations, embargo issues).

Recipients who fail to release public health data in a timely fashion will be subject to procedures normally used to address lack of compliance (for example, reduction in funding, restriction of funds, or award termination) consistent with 45 CFR 74.62 or other authorities as appropriate. For further information, please see: https://www.cdc.gov/grants/additional-requirements/ar-25.html

Human Subjects:

Funds relating to the conduct of research involving human subjects will be restricted until the appropriate assurances and Institutional Review Board (IRB) approvals are in place. Copies of all current local IRB approval letters and local IRB approved protocols (and CDC IRB approval letters, if applicable) will be required to lift restrictions.

If the proposed research project involves more than one institution and will be conducted in the United States, awardees are expected to use a single Institutional Review Board (sIRB) to conduct the ethical review required by HHS regulations for the Protections of Human Subjects Research, and include a single IRB plan in the application, unless review by a sIRB would be prohibited by a federal, tribal, or state law, regulation, or policy or a compelling justification based on ethical or human subjects protection issues or other well-justified reasons is provided. Exceptions will be reviewed and approved by CDC in accordance with Department of Health and Human Services (DHHS) Regulations (45 CFR Part 46), or a restriction may be placed on the award. For more information, please contact the scientific/research contact included on this NOFO.

Note: The sIRB requirement applies to participating sites in the United States. Foreign sites participating in CDC-funded, cooperative research studies are not expected to follow the requirement for sIRB.

Additional Funding Restrictions:

1) Applications submitted under this Notice of Funding Opportunity must not include activities

that overlap with simultaneously funded research under other awards (no scientific, budgetary or percent effort overlap allowed).

2) **Please note:** Certain grants or recipients are not eligible for expanded authorities. In addition, one or more expanded authority may be overridden by a special term or condition of the award. The Notice of Award (NoA) will indicate the applicability of expanded authorities by reference to the HHS Grants Policy Statement or through specific terms and conditions of the award. Therefore, recipients must review the NoA to determine whether and to what extent they are, or are not, permitted to use expanded authorities.

3) Funds relating to the conduct of research involving human subjects will be restricted until the appropriate assurances and Institutional Review Board (IRB) approvals are in place. Copies of all current local IRB approval letters and local IRB approved protocols (and CDC IRB approval letters, if applicable) will be required to lift restrictions. Please see Section IV.2 of this NOFO, "Content and Form of Application Submission" for guidance on single IRB (sIRB) Plan content.

4) Funds relating to the conduct of research involving vertebrate animals will be restricted until the appropriate assurances and Institutional Animal Care and Use Committee (IACUC) approvals are in place. Copies of all current local IACUC approval letters and local IACUC approved protocols will be required to lift restrictions.

5) Section 321 of the National Childhood Vaccine Injury Act exempts information collections conducted under this NOFO from the requirements of the Paperwork Reduction Act.

6) On September 24, 2014, the Federal government issued a policy for the oversight of life sciences “Dual Use Research of Concern” (DURC) and required this policy to be implemented by September 24, 2015. This policy applies to all New and Renewal awards issued on applications submitted on or after September 24, 2015, and to all non-competing continuation awards issued on or after that date. CDC grantee institutions and their investigators conducting life sciences research subject to the Policy have a number of responsibilities that they must fulfill. Institutions should reference the policy, available at http://www.phe.gov/s3/dualuse, for a comprehensive listing of those requirements. Non-compliance with this Policy may result in suspension, limitation, or termination of USG funding, or loss of future US Government (USG) funding opportunities for the non-compliant USG-funded research project and of USG funds for other life sciences research at the institution, consistent with existing regulations and policies governing USG funded research, and may subject the institution to other potential penalties under applicable laws and regulations.

7) Please note the requirement for inclusion of a Data Management Plan (DMP) in applications described above under "Funding Restrictions" and also in AR-25 in the Additional Requirements section of this NOFO (https://www.cdc.gov/grants/additional-requirements/ar-25.html). Funding restrictions may be imposed, pending submission and evaluation of a Data Management Plan.

8) Funds for this notice of funding opportunity may not be used for vaccine purchase.

11. Other Submission Requirements and Information

Risk Assessment Questionnaire Requirement

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

CDC requires all applicants to complete the Risk Questionnaire, OMB Control Number 0920-1132 annually. This questionnaire, which is located at https://www.cdc.gov/grants/documents/PPMR-G-CDC-Risk-Questionnaire.pdf, along with supporting documentation must be submitted with your application by the closing date of the Notice of Funding Opportunity Announcement. If your organization has completed CDC's Risk Questionnaire within the past 12 months of the closing date of this NOFO, then you must submit a copy of that questionnaire, or submit a letter signed by the authorized organization representative to include the original submission date, organization's EIN and UEI.

When uploading supporting documentation for the Risk Questionnaire into this application package, clearly label the documents for easy identification of the type of documentation. For example, a copy of Procurement policy submitted in response to the questionnaire may be labeled using the following format: Risk Questionnaire Supporting Documents _ Procurement Policy.

Duplication of Efforts

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

Report Submission: The applicant must upload the report under "Other Attachment Forms." The document should be labeled: "Report on Programmatic, Budgetary, and Commitment Overlap."

Please note the new requirement for a **Risk Assessment Questionnaire** (described above) that should be uploaded as an attachment in the "12. Other Attachments" section of the "RESEARCH & RELATED Other Project Information" section of the application.

Please note: If requesting indirect costs in the budget based on a federally negotiated rate, a copy of the indirect cost rate agreement is required. Include a copy of the current negotiated federal indirect cost rate agreement or cost allocation approval letter. Please see Section V.3 of this NOFO under **Budget and Period of Support** for more information about indirect cost requirements.

Application Submission

Applications must be submitted electronically following the instructions described in the SF 424 (R&R) Application Guide. **PAPER APPLICATIONS WILL NOT BE ACCEPTED.**

Applicants must complete all required registrations before the application due date. Section III.6 "Required Registrations" contains information about registration.

For assistance with your electronic application or for more information on the electronic submission process, visit Applying Electronically (http://grants.nih.gov/grants/guide /url_ redirect.htm? id=11144).

Important reminders:
All Senior/Key Personnel (including any Program Directors/Principal Investigators (PD/PIs) must include their eRA Commons ID in the Credential field of the Senior/Key Person Profile Component of the SF 424(R&R) Application Package. Failure to register in the Commons and to include a valid PD/PI Commons ID in the credential field will prevent the successful submission of an electronic application to CDC.

It is also important to note that for multi-project applications, this requirement also applies to the individual components of the application and not to just the Overall component.

The applicant organization must ensure that the UEI number it provides on the application is the same number used in the organization's profile in the eRA Commons and for the System for Award Management (SAM). Additional information may be found in the SF424 (R&R) Application Guide.

If the applicant has an FWA number, enter the 8-digit number. Do not enter the letters "FWA" before the number. If a Project/Performance Site is engaged in research involving human subjects, the applicant organization is responsible for ensuring that the

Project/Performance Site operates under and appropriate Federal Wide Assurance for the protection of human subjects and complies with 45 CFR Part 46 and other CDC human subject related policies described in Part II of the SF 424 (R&R) Application Guide and in the HHS Grants Policy Statement.

See more resources to avoid common errors and submitting, tracking, and viewing applications:

- http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm
- http://grants.nih.gov/grants/ElectronicReceipt/submit_app.htm
- https://era.nih.gov/files/ASSIST_user_guide.pdf
- http://era.nih.gov/erahelp/ASSIST/

Upon receipt, applications will be evaluated for completeness by the CDC Office of Grants Services (OGS) and responsiveness by OGS and the Center, Institute or Office of the CDC. Applications that are incomplete and/or nonresponsive will not be reviewed.

Section V. Application Review Information

1. Criteria

Only the review criteria described below will be considered in the review process. As part of the CDC mission (http:// www.cdc.gov/ about/ organization/ mission.htm), all applications submitted to the CDC in support of public health research are evaluated for scientific and technical merit through the CDC peer review system.

Overall Impact
Reviewers will provide an overall impact/priority score to reflect their assessment of the likelihood for the project to exert a sustained, powerful influence on the research field(s) involved, in consideration of the following review criteria and additional review criteria (as applicable for the project proposed).

Scored Review Criteria
Reviewers will consider each of the review criteria below in the determination of scientific merit and give a separate score for each. An application does not need to be strong in all categories to be judged likely to have major scientific impact. For example, a project that by its nature is not innovative may be essential to advance a field.

Significance
Does the project address an important problem or a critical barrier to progress in the field? If the aims of the project are achieved, how will scientific knowledge, technical capability, and/or clinical practice be improved? How will successful completion of the aims change the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field?

- Will the work described in the application be influential in that it will lead others to investigate the problem, open new areas of research, or change the scientific approach or public health practice, and how will this improve and be of value to public health?
- If successful, do the research results have the potential to be scalable to support a national level adult QI program?

Investigator(s)

Are the PD/PIs, collaborators, and other researchers well suited to the project? Have they demonstrated an ongoing record of accomplishments that have advanced their field(s)? If the project is collaborative or multi-PD/PI, do the investigators have complementary and integrated expertise; are their leadership approach, governance and organizational structure appropriate for the project?

- Does the application demonstrate that the PD/PI has experience conducting and publishing academic health services delivery research that focuses on vaccination?
- Does the application demonstrate that the PD/PI has a record of successful collaboration with public health organizations (e.g., city, state or territorial health departments)?

Innovation

Does the application challenge and seek to shift current research or clinical practice paradigms by utilizing novel theoretical concepts, approaches or methodologies, instrumentation, or interventions? Are the concepts, approaches or methodologies, instrumentation, or interventions novel to one field of research or novel in a broad sense? Is a refinement, improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions proposed?

- Is the proposed research innovative and yet offer reasonable potential for concrete applications of interest and value to public health?
- Does the proposed research offer innovative strategies, with reasonable potential to be scalable and sustainable across a variety of public health jurisdictions, to recruit physicians to work for or with the health department on the physician engagement activities described in the NOFO?

Approach

Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project? Are potential problems, alternative strategies, and benchmarks for success presented? If the project is in the early stages of development, will the strategy establish feasibility, and will particularly risky aspects be managed?

If the project involves clinical research, are there plans for 1) protection of human subjects from research risks, and 2) inclusion of minorities and members of both sexes/genders, as well as the inclusion of children, justified in terms of the scientific goals and research strategy proposed?

- Does the application include a proposed jurisdiction/site recruitment strategy and jurisdiction/site selection process?
- Does the application include a proposed timeline of activities?
- Does the proposed study include all three phases (Phase 1: Improve current understanding of existing provider adult QI activities; Phase 2: Pilot intervention for adult immunization QI program; Phase 3: Monitor, evaluate, and support adult immunization QI program pilot interventions)?
- Does the application describe methods for conducting a literature review of available QI resources?

- Does the application describe methods for conducting listening sessions, key informant interviews, and focus groups with adult immunization stakeholders to collect data on existing adult QI programs?
- Does the application describe the plan for sub-award recipient(s) to work with selected clinical settings to support structured observations and analyses of current clinical care and adult vaccines workflow?
- Does the application propose conducting the study within one or more city, state, or territorial immunization program jurisdiction(s)?
- Does the application propose conducting the study within at least 3 of the following clinical settings: family medical practices, internal medical practices, OB/GYN medical practices, FQHCs, RHCs, university-based medical centers?
- Does the application include plans for the study to engage with a variety of provider types within each clinical setting, as applicable (i.e., MD, DO, NP, CNM, PA)?
- Does the application identify additional adult immunization stakeholders necessary for coordinating/partnering with to support completion of Phase 1?
- Does the proposed study prioritize recruitment of provider locations with qualified physicians who are currently caring for, and providing vaccinations for, adult patients?
- Does the proposed study prioritize recruitment of provider locations with experience implementing immunization QI activities (e.g., participation in the VFC IQIP program)?
- Does the proposed study prioritize recruitment of provider locations with current (or planned) use of Section 317 vaccine allocations from the jurisdiction's immunization program?
- Does the application describe the plan to develop pilot adult immunization QI intervention protocols for each clinical setting type selected to participate in the pilot program, based on findings and best practices identified in Phase 1 of the study?
- Does the application propose to use data, including social determinants data, to identify communities within the study jurisdiction(s) with adults who are disproportionately affected by infectious diseases and/or disproportionately undervaccinated?
- Does the application propose to consider social determinants of health in the development, implementation, and evaluation of the interventions and strategies described?
- Does the application describe plans to develop an evaluation plan to monitor program implementation metrics and data collection methods of sub-award recipient(s)?
- Does the application describe plans to develop an evaluation plan to measure the impact of interventions?
- Does the application describe plans to develop an evaluation plan to monitor pilot QI interventions, providing feedback and technical assistance, and steps for evaluating program management structures and quality of support provided?
- Does the application describe plans to develop an evaluation plan to monitor process measures for evaluating facility improvements (e.g., workflow, implementation of the Adult Immunization Practice Standards, etc.)?
- Does the application describe plans to develop methods for collecting, aggregating, and analyzing clinic-level immunization coverage and change in coverage over time?

- Does the application describe a cost analysis plan inclusive of relevant costs for implementing the protocols (e.g., staff salaries, operational costs, etc.)?
- Does the application include plans to develop an interim report summarizing Phase 1 findings?
- Does the application include plans to develop a final report summarizing study findings and impact?
- Does the application include plans to develop an implementation toolkit for adult providers implementing QI in their facilities?
- Does the application include plans to develop an implementation toolkit for public health Immunization Programs managing adult provider QI programs?
- Does the application propose to use evidence-based interventions or strategies in the research plan?
- Does the proposed study jurisdiction(s) target Section 317 Vaccine providers with experience serving adult populations in either urban or rural populations?
- Does the application include an analytic plan with outputs, measures, or metrics identified to assess study outcomes?
- Does the application describe a translation plan regarding how the significant findings may be used to promote, enhance, or advance translation of the research?
- Does the application identify which research findings may be translated, how these findings could guide future research or related activities, and recommendations for translation?
- Does the application describe how findings from the study will be disseminated via manuscripts, presentations, etc.?

Environment

Will the scientific environment in which the work will be done contribute to the probability of success? Are the institutional support, equipment and other physical resources available to the investigators adequate for the project proposed? Will the project benefit from unique features of the scientific environment, subject populations, or collaborative arrangements?

- Does the project identify one or more of the 64 public health Immunization Programs as sub-award recipient(s)?
- Does the application include a letter of support from one or more of the 64 public health Immunization Program jurisdictions included as proposed sub-award recipient(s)?
- Does the project support key stakeholder involvement throughout the research process?

2. Additional Review Criteria

As applicable for the project proposed, *reviewers will evaluate* the following additional items while determining scientific and technical merit, and in providing an overall impact/priority score, but *will not give separate scores* for these items.

Protections for Human Subjects

If the research involves human subjects but does not involve one of the six categories of research that are exempt under 45 CFR Part 46, the committee will evaluate the justification for involvement of human subjects and the proposed protections from research risk relating to their

participation according to the following five review criteria: 1) risk to subjects, 2) adequacy of protection against risks, 3) potential benefits to the subjects and others, 4) importance of the knowledge to be gained, and 5) data and safety monitoring for clinical trials.

For research that involves human subjects and meets the criteria for one or more of the six categories of research that are exempt under 45 CFR Part 46, the committee will evaluate: 1) the justification for the exemption, 2) human subjects involvement and characteristics, and 3) sources of materials. For additional information on review of the Human Subjects section, please refer to the HHS/CDC Requirements under AR-1 Human Subjects Requirements (https://www.cdc.gov/grants/additional-requirements/ar-1.html).

If your proposed research involves the use of human data and/or biological specimens, you must provide a justification for your claim that no human subjects are involved in the Protection of Human Subjects section of the Research Plan.

Inclusion of Women, Minorities, and Children
When the proposed project involves clinical research, the committee will evaluate the proposed plans for inclusion of minorities and members of both genders, as well as the inclusion of children. For additional information on review of the Inclusion section, please refer to the policy on the Inclusion of Women and Racial and Ethnic Minorities in Research (https://www.cdc.gov/maso/Policy/Policy_women.pdf and the policy on the Inclusion of Persons Under 21 in Research (https://www.cdc.gov/maso/Policy/policy496.pdf).

Vertebrate Animals
The committee will evaluate the involvement of live vertebrate animals as part of the scientific assessment according to the following four points: 1) proposed use of the animals, and species, strains, ages, sex, and numbers to be used; 2) justifications for the use of animals and for the appropriateness of the species and numbers proposed; 3) procedures for limiting discomfort, distress, pain and injury to that which is unavoidable in the conduct of scientifically sound research including the use of analgesic, anesthetic, and tranquilizing drugs and/or comfortable restraining devices; and 4) methods of euthanasia and reason for selection if not consistent with the AVMA Guidelines on Euthanasia. For additional information on review of the Vertebrate Animals section, please refer to the Worksheet for Review of the Vertebrate Animal Section (https://grants.nih.gov/grants/olaw/VAChecklist.pdf).

Biohazards
Reviewers will assess whether materials or procedures proposed are potentially hazardous to research personnel and/or the environment, and if needed, determine whether adequate protection is proposed.

Dual Use Research of Concern
Reviewers will identify whether the project involves one of the agents or toxins described in the US Government Policy for the Institutional Oversight of Life Sciences Dual Use Research of Concern, and, if so, whether the applicant has identified an IRE to assess the project for DURC potential and develop mitigation strategies if needed.

For more information about this Policy and other policies regarding dual use research of concern, visit the U.S. Government Science, Safety, Security (S3) website at: http://www.phe.gov/s3/dualuse. Tools and guidance for assessing DURC potential may be found at: http://www.phe.gov/s3/dualuse/Pages/companion-guide.aspx.

3. Additional Review Considerations

As applicable for the project proposed, reviewers will consider each of the following items, but will not give scores for these items, and should not consider them in providing an overall impact/priority score.

Applications from Foreign Organizations

N/A

Resource Sharing Plan(s)

HHS/CDC policy requires that recipients of grant awards make research resources and data readily available for research purposes to qualified individuals within the scientific community after publication. Please see: https://www.cdc.gov/grants/additional-requirements/ar-25.html

New additional requirement: CDC requires recipients for projects and programs that involve data collection or generation of data with federal funds to develop and submit a Data Management Plan (DMP) for each collection of public health data.

Investigators responding to this Notice of Funding Opportunity should include a detailed DMP in the Resource Sharing Plan(s) section of the PHS 398 Research Plan Component of the application. The AR-25 outlines the components of a DMP and provides additional information for investigators regarding the requirements for data accessibility, storage, and preservation.

The DMP should be developed during the project planning phase prior to the initiation of collecting or generating public health data and will be submitted with the application. The submitted DMP will be evaluated for completeness and quality at the time of submission.

The DMP should include, at a minimum, a description of the following:

- A description of the data to be collected or generated in the proposed project;
- Standards to be used for the collected or generated data;
- Mechanisms for, or limitations to, providing access to and sharing of the data (include a description of provisions for the protection of privacy, confidentiality, security, intellectual property, or other rights - this section should address access to identifiable and de-identified data);
- Statement of the use of data standards that ensure all released data have appropriate documentation that describes the method of collection, what the data represent, and potential limitations for use; and
- Plans for archiving and long-term preservation of the data, or explaining why long-term preservation and access are not justified (this section should address archiving and preservation of identifiable and de-identified data).

Applications submitted without the required DMP may be deemed ineligible for award unless submission of DMP is deferred to a later period depending on the type of award, in which case, funding restrictions may be imposed pending submission and evaluation.

CDC OMB approved templates may be used (e.g. NCCDPHP template https://www.cdc.gov/chronicdisease/pdf/nofo/DMP-Template-508.docx

Other examples of DMPs may be found here USGS, http://www.usgs.gov//products/data-and-tools/data-management/data-management-plans

Budget and Period of Support
Reviewers will consider whether the budget and the requested period of support are fully justified and reasonable in relation to the proposed research. The applicant can obtain guidance for completing a detailed justified budget on the CDC website, at the following Internet address: http://www.cdc.gov/grants/interestedinapplying/application-resources.html

The budget can include both direct costs and indirect costs as allowed.

Indirect costs could include the cost of collecting, managing, sharing and preserving data.

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

Indirect costs on training grants are limited to a fixed rate of eight percent of MTDC exclusive of tuition and related fees, direct expenditures for equipment, and sub-awards in excess of $25,000.

If requesting indirect costs in the budget based on a federally negotiated rate, a copy of the indirect cost rate agreement is required. Include a copy of the current negotiated federal indirect cost rate agreement or cost allocation plan approval letter.

4. Review and Selection Process

Applications will be evaluated for scientific and technical merit by an appropriate peer review group, in accordance with CDC peer review policy and procedures, using the stated review criteria.
As part of the scientific peer review, all applications:

- Will undergo a selection process in which only those applications deemed to have the highest scientific and technical merit (generally the top half of applications under review), will be discussed and assigned an overall impact/priority score.
- Will receive a written critique.

Applications will be assigned to the appropriate HHS/CDC Center, Institute, or Office. Applications will compete for available funds with all other recommended applications submitted in response to this NOFO. Following initial peer review, recommended applications

will receive a second level of review. The following will be considered in making funding recommendations:

- Scientific and technical merit of the proposed project as determined by scientific peer review.
- Availability of funds.
- Relevance of the proposed project to program priorities.

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

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

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

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

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

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

5. Anticipated Announcement and Award Dates

After the peer review of the application is completed, the PD/PI will be able to access his or her Summary Statement (written critique) and other pertinent information via the eRA Commons.

Section VI. Award Administration Information

1. Award Notices

Any applications awarded in response to this NOFO will be subject to the UEI, SAM Registration, and Transparency Act requirements. If the application is under consideration for funding, HHS/CDC will request "just-in-time" information from the applicant as described in the HHS Grants Policy Statement (https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf).

PLEASE NOTE: Effective April 4, 2022, applicants must have a Unique Entity Identifier (UEI) at the time of application submission. The UEI is generated as part of SAM.gov registration. Current SAM.gov registrants have already been assigned their UEI and can view it in SAM.gov and Grants.gov. Additional information is available on the GSA website, SAM.gov, and Grants.gov-Finding the UEI.

A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization for successful applications. The NoA signed by the Grants Management Officer is the authorizing document and will be sent via email to the grantee's business official.

Recipient must comply with any funding restrictions as described in Section IV.11. Funding Restrictions. Selection of an application for award is not an authorization to begin performance. Any costs incurred before receipt of the NoA are at the recipient's risk. These costs may be allowable as an expanded authority, but only if authorized by CDC.

2. CDC Administrative Requirements

Overview of Terms and Conditions of Award and Requirements for Specific Types of Grants

Administrative and National Policy Requirements, Additional Requirements (ARs) outline the administrative requirements found in 45 CFR Part 75 and the HHS Grants Policy Statement and other requirements as mandated by statute or CDC policy. Recipients must comply with administrative and national policy requirements as appropriate. For more information on the Code of Federal Regulations, visit the National Archives and Records Administration: https://www.archives.gov/

Specific requirements that apply to this NOFO are the following:

AR-1: Human Subjects Requirements

AR-2: Requirements for Inclusion of Women and Racial and Ethnic Minorities in Research

AR-3: Animal Subjects Requirements

AR-10: Smoke-Free Workplace Requirements

AR-11: Healthy People 2030

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-17: Peer and Technical Reviews of Final Reports of Health Studies – ATSDR

AR-21: Small, Minority, And Women-owned Business

AR-22: Research Integrity

AR-24: Health Insurance Portability and Accountability Act Requirements

AR-25: Data Management and Access

AR-26: National Historic Preservation Act of 1966

AR-28: Inclusion of Persons Under the Age of 21 in Research

AR-29: Compliance with EO13513, "Federal Leadership on Reducing Text Messaging while Driving", October 1, 2009

AR-30: Information Letter 10-006, - Compliance with Section 508 of the Rehabilitation Act of 1973

AR-31: Research Definition

AR-32: Appropriations Act, General Provisions

AR-33: United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern

AR-36: Certificates of Confidentiality

AR-37: Prohibition on certain telecommunications and surveillance services or equipment for all awards issued on or after August 13, 2020.

Organization Specific ARs:

AR-8: Public Health System Reporting Requirements

AR-15: Proof of Non-profit Status

AR 23: Compliance with 45 C.F.R. Part 87

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

*To view brief descriptions of relevant CDC requirements visit:*https://www.cdc.gov/grants/additional-requirements/

3. Additional Policy Requirements

The following are additional policy requirements relevant to this NOFO:

Should you successfully compete for an award, recipients of federal financial assistance (FFA) from HHS will be required to complete an HHS Assurance of Compliance form (HHS 690) in which you agree, as a condition of receiving the grant, to administer your programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, age, sex and disability, and agreeing to comply with federal conscience laws, where applicable. This includes ensuring that entities take meaningful steps to provide meaningful access to persons with limited English proficiency; and ensuring effective communication with persons with disabilities. Where applicable, Title XI and Section 1557 prohibit discrimination on the basis of sexual orientation, and gender identity. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See https://www.hhs.gov/civil-rights/for-providers/provider- obligations/index.html and https://www.hhs.gov/civil-rights/for- individuals/nondiscrimination/index.html.

- For guidance on meeting your legal obligation to take reasonable steps to ensure meaningful access to your programs or activities by limited English proficient individuals, see https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html and https://www.lep.gov.
- For information on your specific legal obligations for serving qualified individuals with disabilities, including providing program access, reasonable modifications, and to provide effective communication, see http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html.
- HHS funded health and education programs must be administered in an environment free of sexual harassment, see https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html.
- For guidance on administering your project in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws, see https://www.hhs.gov/conscience/conscience-protections/index.html and https://www.hhs.gov/conscience/religious-freedom/index.html.

HHS Policy on Promoting Efficient Spending: Use of Appropriated Funds for Conferences and Meetings, Food, Promotional Items and Printing Publications This policy supports the Executive Order on Promoting Efficient Spending (EO 13589), the Executive Order on Delivering and Efficient, Effective, and Accountable Government (EO 13576) and the Office of Management and Budget Memorandum on Eliminating Excess Conference Spending and Promoting Efficiency in Government (M-35-11). This policy applies to all new obligations and all funds appropriated by Congress. For more information, visit the HHS website at: https://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html.

Federal Funding Accountability and Transparency Act of 2006 Federal Funding Accountability and Transparency Act of 2006 (FFATA), P.L. 109–282, as amended by section 6202 of P.L. 110–252, requires full disclosure of all entities and organizations receiving Federal funds including grants, contracts, loans and other assistance and payments through a single, publicly accessible website, www.usaspending.gov. For the full text of the requirements, please review the following website: https://www.fsrs.gov/.

Plain Writing Act The Plain Writing Act of 2010, Public Law 111-274, was signed into law on October 13, 2010. The law requires that federal agencies use "clear Government communication that the public can understand and use" and requires the federal government to write all new publications, forms, and publicly distributed documents in a "clear, concise, well-organized" manner. For more information on this law, go to: http://www.plainlanguage.gov/plLaw/index.cfm.

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

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

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

Language Access for Persons with Limited English Proficiency Recipients of federal financial assistance from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some

circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. Recipients of federal financial assistance must take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency.

Dual Use Research of Concern On September 24, 2014, the US Government Policy for the Institutional Oversight of Life Sciences Dual Use Research of Concern was released. Grantees (foreign and domestic) receiving CDC funding on or after September 24, 2015 are subject to this policy. Research funded by CDC, involving the agents or toxins named in the policy, must be reviewed to determine if it involves one or more of the listed experimental effects and if so, whether it meets the definition of DURC. This review must be completed by an Institutional Review Entity (IRE) identified by the funded institution.

Recipients also must establish an Institutional Contact for Dual Use Research (ICDUR). The award recipient must maintain records of institutional DURC reviews and completed risk mitigation plans for the term of the research grant, cooperative agreement or contract plus three years after its completion, but no less than eight years, unless a shorter period is required by law or regulation.

If a project is determined to be DURC, a risk/benefit analysis must be completed. CDC will work collaboratively with the award recipient to develop a risk mitigation plan that the CDC must approve. The USG policy can be found at http://www.phe.gov/s3/dualuse.

Non-compliance with this Policy may result in suspension, limitation, restriction or termination of USG-funding, or loss of future USG funding opportunities for the non-compliant USG-funded research project and of USG-funds for other life sciences research at the institution, consistent with existing regulations and policies governing USG-funded research, and may subject the institution to other potential penalties under applicable laws and regulations.

Data Management Plan(s)

CDC requires that all new collections of public health data include a Data Management Plan (DMP). For purposes of this announcement, "public health data" means digitally recorded factual material commonly accepted in the scientific community as a basis for public health findings, conclusions, and implementation.

This new requirement ensures that CDC is in compliance with the following; Office of Management and Budget (OMB) memorandum titled "Open Data Policy–Managing Information as an Asset" (OMB M-13-13); Executive Order 13642 titled "Making Open and Machine Readable the New Default for Government Information"; and the Office of Science and Technology Policy (OSTP) memorandum titled "Increasing Access to the Results of Federally Funded Scientific Research" (OSTP Memo).

The AR-25 https://www.cdc.gov/grants/additional-requirements/ar-25.html outlines the components of a DMP and provides additional information for investigators regarding the requirements for data accessibility, storage, and preservation.

Certificates of Confidentiality: Institutions and investigators are responsible for determining whether research they conduct is subject to Section 301(d) of the Public Health Service (PHS) Act. Section 301(d), as amended by Section 2012 of the 21st Century Cures Act, P.L. 114-255 (42 U.S.C. 241(d)), states that the Secretary shall issue Certificates of Confidentiality (Certificates) to persons engaged in biomedical, behavioral, clinical, or other research activities in which identifiable, sensitive information is collected. In furtherance of this provision, CDC-supported research commenced or ongoing after December 13, 2016 in which identifiable, sensitive information is collected, as defined by Section 301(d), is deemed issued a Certificate and therefore required to protect the privacy of individuals who are subjects of such research. Certificates issued in this manner will not be issued as a separate document, but are issued by application of this term and condition to this award. See Additional Requirement 36 to ensure compliance with this term and condition. The link to the full text is at: https://www.cdc.gov/grants/additional-requirements/ar-36.html.

4. Cooperative Agreement Terms and Conditions

The following special terms of award are in addition to, and not in lieu of, otherwise applicable U.S. Office of Management and Budget (OMB) administrative guidelines, U.S. Department of Health and Human Services (DHHS) grant administration regulations at 45 CFR Part 75, and other HHS, PHS, and CDC grant administration policies. The administrative and funding instrument used for this program will be the cooperative agreement, an "assistance" mechanism (rather than an "acquisition" mechanism), in which substantial CDC programmatic involvement with the awardees is anticipated during the performance of the activities. Under the cooperative agreement, the HHS/CDC purpose is to support and stimulate the recipients' activities by involvement in and otherwise working jointly with the award recipients in a partnership role; CDC Project Officers are not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this concept, the dominant role and prime responsibility resides with the awardees for the project as a whole, although specific tasks and activities may be shared among the awardees and HHS/CDC as defined below.

The PD(s)/PI(s) will have the primary responsibility for:

- Detailing a plan and process for developing and refining timelines, intervention protocols, study objectives, methods, and data collection instruments.
- Ensuring completion of all aspects of the project, from study development through to completion of the required elements of the translation plan.
- Complying with the responsibilities for the Extramural Investigators as described in the Policy on Public Health Research and Non-research Data Management and Access https://www.cdc.gov/grants/additional-requirements/ar-25.html
- Ensuring the protection of human subjects through ethical review of all protocols involving human subjects at the local institution and at CDC and obtaining the appropriate Institutional Review Board approvals for all institutions or individuals engaged in the conduct of the research project.
- PUBLICATIONS/PRESENTATIONS: Publications, journal articles, presentations, etc. produced under a CDC grant must bear an acknowledgment and disclaimer, as

appropriate, for example: "This publication (journal article, etc.) was supported by the Cooperative Agreement Number above from the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention". In addition, the PI/PD must provide to CDC Program abstracts or manuscripts prior to any publication related to this funding. The recipient will not seek to publish or present results or findings from this project without prior clearance and approval from CDC.

- Complying with the responsibilities for the PI as described in the United States Government Policy for Institutional Oversight of Life Science Dual Use Research of Concern (DURC) http://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf).
- Awardees will retain custody of and have primary rights to the data and software developed under these awards, subject to Government rights of access consistent with current DHHS, PHS, and CDC policies.

CDC staff have substantial programmatic involvement that is above and beyond the normal stewardship role in awards, as described below:

- Providing technical assistance for the development of materials for Phase 2 and Phase 3 activities.
- Providing support to the PI in the development and refinement of intervention protocols, study objectives, technical methods, and data collection instruments. CDC will also provide technical assistance on data analysis plans, revision of manuscripts, and other products resulting from this NOFO, as warranted.
- Assisting the PI, as needed, in complying with the Investigator responsibilities described in the Policy on Public Health Research and Non-research Data Management and Access https://www.cdc.gov/grants/additional-requirements/ar-25.html
- Preparing the paperwork necessary for submission of research protocols to the CDC Institutional Review Board for review, as needed.
- Assisting the PI, as needed, in complying with the PI responsibilities described in the United States Government Policy for Institutional Oversight of Life Science Dual Use Research of Concern (DURC) http://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf

Areas of Joint Responsibility include:

- Collaborating in the development of human subject research protocols and additional documents for IRB review by all cooperating institutions participating in the project, if needed.
- For applications that are successfully funded under this NOFO, the recipient agrees that upon award, the application and the summary of reviewers' comments for the application may be shared with the CDC staff who will provide technical assistance, as described above. The recipient organization will retain custody of and have primary rights to the information, data, and software developed under this award, subject to U.S. Government rights of access and consistent with current HHS/CDC grant regulations and policies.

Additionally, a Scientific Program Officer in the NCHHSTP Extramural Research Program Office (ERPO) will be responsible for the normal scientific and programmatic stewardship of the award as described below:

- Named in the Notice of Award as the Program Official to provide overall scientific and programmatic stewardship of the award.
- Serve as the primary point of contact for official pre-award activities and for all award-related activities, including an annual review of the grantee's performance as part of the request for continuation application.
- Make recommendations on requests for changes in scope, objectives, and or budgets that deviate from the approved peer-reviewed application.
- Carry out continuous review of all activities to ensure objectives are being met.
- Attend committee meetings and participate in conference calls for the purposes of assessing overall progress, and for program evaluation purposes.
- Monitor performance against approved project objectives.

5. Reporting

Recipients will be required to complete Research Performance Progress Report (RPPR) in eRA Commons at least annually
(see https://grants.nih.gov/grants/rppr/index.htm; https://grants.nih.gov/grants/forms/report_on_grant.htm) and financial statements as required in the HHS Grants Policy Statement.

A final progress report, invention statement, equipment inventory list and the expenditure data portion of the Federal Financial Report are required for closeout of an award, as described in the HHS Grants Policy Statement.

Although the financial plans of the HHS/CDC CIO(s) provide support for this program, awards pursuant to this funding opportunity depend upon the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act), includes a requirement for recipients of Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards issued in FY2011 or later.

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 recipients:
1) Information on executive compensation when not already reported through the SAM Registration; and
2) Similar information on all sub-awards/ subcontracts/ consortiums over $25,000. It is a requirement for recipients of Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards issued in FY2011 or later. All recipients of applicable CDC grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at www.fsrs.gov on all subawards

over $25,000. See the HHS Grants Policy Statement (https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf).

A. Submission of Reports

The Recipient Organization must submit:

1. **Yearly Non-Competing Grant Progress Report** is due 90 to 120 days before the end of the current budget period. The RPPR form (https://grants.nih.gov/grants/rppr/index.htm; https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) is to be completed on the eRA Commons website. The progress report will serve as the non-competing continuation application. Although the financial plans of the HHS/CDC CIO(s) provide support for this program, awards pursuant to this funding opportunity are contingent upon the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.
2. **Annual Federal Financial Report (FFR) SF 425 (**Reporting | Grants | CDC) is required and must be submitted to the Payment Management System accessed through the FFR navigation link in eRA Commons or directly through PMS **within 90 days after the budget period ends.**
3. **A final progress report**, invention statement, equipment/inventory report, and the final FFR are required **90 days after the end of the period of performance.**

B. Content of Reports

1. Yearly Non-Competing Grant Progress Report: The grantee's continuation application/progress should include:

    - Description of Progress during Annual Budget Period: Current Budget Period Progress reported on the RPPR form in eRA Commons (https://grants.nih.gov/grants/rppr/index.htm). Detailed narrative report for the current budget period that directly addresses progress towards the Measures of Effectiveness included in the current budget period proposal.
    - Research Aims: list each research aim/project

    a) Research Aim/Project: purpose, status (met, ongoing, and unmet), challenges, successes, and lessons learned

    b) Leadership/Partnership: list project collaborations and describe the role of external partners.

    - Translation of Research (1 page maximum). When relevant to the goals of the research project, the PI should describe how the significant findings may be used to promote, enhance, or advance translation of the research into practice or may be used to inform public health policy. This section should be understandable to a variety of audiences, including policy makers, practitioners, public health programs, healthcare institutions, professional organizations, community groups, researchers, and other potential users. The PI should identify the research findings

that were translated into public health policy or practice and how the findings have been or may be adopted in public health settings. Or, if they cannot be applied yet, this section should address which research findings may be translated, how these findings can guide future research or related activities, and recommendations for translation. If relevant, describe how the results of this project could be generalized to populations and communities outside of the study. Questions to consider in preparing this section include:

- How will the scientific findings be translated into public health practice or inform public health policy?
- How will the project improve or effect the translation of research findings into public health practice or inform policy?
- How will the research findings help promote or accelerate the dissemination, implementation, or diffusion of improvements in public health programs or practices?
- How will the findings advance or guide future research efforts or related activities?

- Public Health Relevance and Impact (1 page maximum). This section should address improvements in public health as measured by documented or anticipated outcomes from the project. The PI should consider how the findings of the project relate beyond the immediate study to improved practices, prevention or intervention techniques, inform policy, or use of technology in public health. Questions to consider in preparing this section include:
- How will this project lead to improvements in public health?
- How will the findings, results, or recommendations been used to influence practices, procedures, methodologies, etc.?
- How will the findings, results, or recommendations contribute to documented or projected reductions in morbidity, mortality, injury, disability, or disease?

- Current Budget Period Financial Progress: Status of obligation of current budget period funds and an estimate of unobligated funds projected provided on an estimated FFR.

- New Budget Period Proposal:
- Detailed operational plan for continuing activities in the upcoming budget period, including updated Measures of Effectiveness for evaluating progress during the upcoming budget period. Report listed by Research Aim/Project.
- Project Timeline: Include planned milestones for the upcoming year (be specific and provide deadlines).

- New Budget Period Budget: Detailed line-item budget and budget justification for the new budget period. Use the CDC budget guideline format.

- Publications/Presentations: Include publications/presentations resulting from this CDC grant only during this budget period. If no publication or presentations have been made at this stage in the project, simply indicate "Not applicable: No publications or presentations have been made."

- IRB Approval Certification: Include all current IRB approvals to avoid a funding restriction on your award. If the research does not involve human subjects, then please state so. Please provide a copy of the most recent local IRB and CDC IRB, if applicable. If any approval is still pending at time of APR due date, indicate the status in your narrative.

- Update of Data Management Plan: The DMP is considered a living document that will require updates throughout the lifecycle of the project. Investigators should include any updates to the project's data collection such as changes to initial data collection plan, challenges with data collection, and recent data collected. Applicants should update their DMP to reflect progress or issues with planned data collection and submit as required for each reporting period.

- Additional Reporting Requirements:

N/A

2. Annual Federal Financial Reporting The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through the Payment Management System (PMS) within 90 days after the end of the budget period. The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to submit a letter explaining the reason and date by which the Grants Officer will receive the information.

Additional resources on the Payment Management System (PMS) can be found at https://pms.psc.gov.

Recipients must submit closeout reports in a timely manner. Unless the Grants Management Officer (GMO) of the awarding Institute or Center approves an extension, recipients must submit a final FFR, final progress report, and Final Invention Statement and Certification within 90 days of the period of performance. Failure to submit timely and accurate final reports may affect future funding to the organization or awards under the direction of the same Project Director/Principal Investigator (PD/PI).

Organizations may verify their current registration status by running the "List of Commons Registered Organizations" query found at: https://era.nih.gov/registration_accounts.cfm. Organizations not yet registered can go to https://commons.era.nih.gov/commons/ for instructions. It generally takes several days to complete this registration process. This registration is independent of Grants.gov and may be done at any time.

The individual designated as the PI on the application must also be registered in the Commons. The PI must hold a PI account and be affiliated with the applicant organization. This registration must be done by an organizational official or their delegate who is already registered in the Commons. To register PIs in the Commons, refer to the eRA Commons User Guide found at: https://era.nih.gov/docs/Commons_UserGuide.pdf.

3. Final Reports: Final reports should provide sufficient detail for CDC to determine if the stated outcomes for the funded research have been achieved and if the research findings resulted in public health impact based on the investment. The grantee's final report should include:

- Research Aim/Project Overview: The PI should describe the purpose and approach to the project, including the outcomes, methodology and related analyses. Include a discussion of the challenges, successes and lessons learned. Describe the collaborations/partnerships and the role of each external partner.
- Translation of Research Findings: The PI should describe how the findings will be translated and how they will be used to inform policy or promote, enhance or advance the impact on public health practice. This section should be understandable to a variety of audiences, including policy makers, practitioners, public health programs, healthcare institutions, professional organizations, community groups, researchers and other potential end users. The PI should also provide a discussion of any research findings that informed policy or practice during the course of the Period of Performance. If applicable, describe how the findings could be generalized and scaled to populations and communities outside of the funded project.
- Public Health Relevance and Impact: This section should address improvements in public health as measured by documented or anticipated outcomes from the project. The PI should consider how the findings of the project related beyond the immediate study to improved practices, prevention or intervention techniques, or informed policy, technology or systems improvements in public health.
- Publications; Presentations; Media Coverage: Include information regarding all publications, presentations or media coverage resulting from this CDC-funded activity. Please include any additional dissemination efforts that did or will result from the project.
- Final Data Management Plan: Applicants must include an updated final Data Management Plan that describes the data collected, the location of where the data is stored (example: a repository), accessibility restrictions (if applicable), and the plans for long term preservation of the data.

6. Termination

CDC may impose other enforcement actions in accordance with 45 CFR 75.371- Remedies for Noncompliance, as appropriate.

The Federal award may be terminated in whole or in part as follows:

(1) By the HHS awarding agency or pass-through entity, if the non-Federal entity fails to comply with the terms and conditions of the award;

(2) By the HHS awarding agency or pass-through entity for cause;

(3) By the HHS awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated; or

(4) By the non-Federal entity upon sending to the HHS awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the HHS awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the HHS awarding agency or pass-through entity may terminate the Federal award in its entirety.

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

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

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

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

2) Quarterly Report: The recipient must quarterly submit a report on the amount of foreign taxes charged by a foreign government on commodity purchase transactions valued at 500 USD or more financed with United States foreign assistance funds under this grant. This report shall be

submitted no later than two weeks following the end of each quarter: April 15, July 15, October 15 and January 15.

3) Terms: For purposes of this clause:

"Commodity" means any material, article, supplies, goods, or equipment;

"Foreign government" includes any foreign government entity;

"Foreign taxes" means value-added taxes and 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. recipient name;

b. contact name with phone, fax, and e-mail;

c. agreement number(s) if reporting by agreement(s);

d. reporting period;

e. amount of foreign taxes assessed by each foreign government;

f. amount of any foreign taxes reimbursed by each foreign government;

g. amount of foreign taxes unreimbursed by each foreign government.

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

Section VII. Agency Contacts

We encourage inquiries concerning this funding opportunity and welcome the opportunity to answer questions from potential applicants.

Application Submission Contacts

Grants.gov Customer Support (Questions regarding Grants.gov registration and submission, downloading or navigating forms)
Contact Center Phone: 800-518-4726
Email: support@grants.gov
Hours: 24 hours a day, 7 days a week; closed on Federal holidays

eRA Commons Help Desk (Questions regarding eRA Commons registration, tracking application status, post submission issues, FFR submission)
Phone: 301-402-7469 or 866-504-9552 (Toll Free)
TTY: 301-451-5939
Email: commons@od.nih.gov
Hours: Monday - Friday, 7am - 8pm U.S. Eastern Time

Scientific/Research Contact

Dr. Jamal Bankhead

Extramural Research Program Office
Office of the Associate Director of Science
National Center for HIV, Viral Hepatitis, STD and TB Prevention
Centers for Disease Control and Prevention
U.S. Department of Health and Human Services
1600 Clifton Road, MS US8-1
Atlanta, GA 30333
Telephone: 404-630-5091
Email: JBankhead@cdc.gov

Peer Review Contact
Gregory Anderson, MPH, MS
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Office of the Associate Director of Science
National Center for HIV, Viral Hepatitis, STD and TB Prevention
Centers for Disease Control and Prevention
U.S. Department of Health and Human Services
1600 Clifton Road, MS US8-1
Atlanta, GA 30333
Telephone:404-718-8833
Email: GAnderson@cdc.gov

Financial/Grants Management Contact
Sharon Cassell
Office of Financial Resources
Office of Grants Services
Centers for Disease Control and Prevention
U.S. Department of Health and Human Services
1600 Clifton Road, NE, MS TV-2
Atlanta, GA 30329
Telephone: 770-488-2703
Email: SCassell@cdc.gov

Section VIII. Other Information

Other CDC Notices of Funding Opportunities can be found at www.grants.gov.

All awards are subject to the terms and conditions, cost principles, and other considerations described in the HHS Grants Policy Statement.

Authority and Regulations
Awards are made under the authorization of Sections of the Public Health Service Act as amended and under the Code of Federal Regulations.

Public Health Service Act, Section 317(k)(1) [42 USC 247b(k)(1)].