

<b>Subaward Amendment</b>			
Amendment No <input style="width: 80px;" type="text" value="9"/>		Subaward No <input style="width: 100px;" type="text" value="11644sc"/>	
Pass-Through Entity (PTE)		Subrecipient	
<input style="width: 350px;" type="text" value="The Regents of the University of California, San Francisco"/>		<input style="width: 350px;" type="text" value="City &amp; County of San Francisco"/>	
<input style="width: 350px;" type="text" value="CGSuboutTeam@ucsf.edu"/>		<input style="width: 350px;" type="text" value="willi.mcfarland@sfdph.org"/>	
<input style="width: 350px;" type="text" value="George Rutherford"/>		<input style="width: 350px;" type="text" value="William McFarland"/>	
<input style="width: 100%; height: 20px;" type="text" value="Project Title Targeted HIV/TB Strategic Information Technical Assistance for President's Emergency Plan for AIDS Relief (PEPFAR) and Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) Countries"/>			
<input style="width: 200px;" type="text" value="PTE/Prime Award No. NU2GGH002183"/>		<input style="width: 200px;" type="text" value="Awarding Agency PHS Centers for Disease Control"/>	
Cumulative Budget Period(s) <small>(Agreement Start Date) (End Date of Latest Budget Period)</small>		Amount Funded This Action	Total Amount of Funds Obligated to Date
Start Date: <input style="width: 80px;" type="text" value="10/01/2019"/> End Date: <input style="width: 80px;" type="text" value="09/29/2024"/>		<input style="width: 150px;" type="text" value="\$ 18,016.00"/>	<input style="width: 150px;" type="text" value="\$ 107,707.00"/>
Subrecipient Cost Share <input type="checkbox"/>	Subject to FFATA <input checked="" type="checkbox"/>	Subrecipient UEI <small>(Unique Entity Identifier - May leave blank if unchanged from prior Agreement)</small>	<input style="width: 150px;" type="text" value="MYM4VNNBN6T9"/>
<b>Amendment(s) to Original Terms and Conditions</b>			
This Amendment revises the above-referenced Subaward Agreement as follows:			
<p>Scope of Work: Subrecipient's scope of work is updated to incorporate the tasks in Attachment A.</p> <p>Period of Performance: The period of performance is hereby extended through September 29, 2024.</p> <p>Compensation: Additional Funding: Additional funding is awarded in the amount of \$18,016 and as itemized in the attached budget. All invoices must be submitted monthly by the 10th of each month. Carryforward continues to be restricted.</p> <p>Attachment A - Scope of Work Attachment B - Budget Attachment C - Notice of Award</p>			
Carryover is <input style="width: 100px;" type="text" value="Not Automatic"/> Carryover across budget periods requires prior approval.			
<small>If carryover is not automatic, the "Total Amount of Funds Obligated to Date" stated above may not reflect the actual balance available. The Subrecipient is responsible for tracking unobligated balances and subsequent carryover approvals from prior budget periods. In the event that funding was not fully expended by the Subrecipient during the prior period, the Subrecipient is not authorized to use funds from any prior periods, unless approval is granted by the PTE.</small>			
<i>For clarity: all amounts stated in this amendment are in United States Dollars.</i>			
<b>All other terms and conditions of this Subaward Agreement remain in full force and effect.</b>			
By an Authorized Official of PTE:		By an Authorized Official of Subrecipient:	
<input style="width: 300px;" type="text" value="Jennifer Guinasso"/>		<input style="width: 300px;" type="text" value="Greg Wagner"/>	
Date <input style="width: 80px;" type="text" value="11/28/2023"/>		Date <input style="width: 80px;" type="text" value="11/28/2023"/>	
Name <input style="width: 350px;" type="text" value="Jennifer Guinasso"/>		Name <input style="width: 350px;" type="text" value="Grant Colfax, MD"/>	
Title <input style="width: 350px;" type="text" value="Subcontract Officer/AOR"/>		Title <input style="width: 350px;" type="text" value="Director of Health"/>	

Approved as to form, David Chiu, City Attorney

DocuSigned by:  
By:   
Henry Liffon, Deputy City Attorney

Attachment A

**APPENDIX A**

**San Francisco Department of Public Health (SFDPH) Subcontract**

**1. Name of Contractor:** San Francisco Department of Public Health (SFDPH).

**2. Method of Selection:** The San Francisco Department of Public Health has a well-established reputation in conducting state of the art surveillance in HIV/AIDS and is a world leader in second and third generation HIV surveillance methodologies with extensive experience in implementing these methodologies and providing training in this field. SFDPH also has one of the world's most innovative and sophisticated HIV case-based surveillance systems. Their experience in conducting training in local, national, and international institutions within the US and in many countries overseas is of particular importance to the successful completion of this project. Finally, UCSF and SFDPH have a successful history of collaboration in the area of providing technical assistance on HIV surveillance in collaboration within our unit for CDC/PEFPAR projects and in providing TA in SI to the Caribbean region.

**3. Period of Performance:** September 30, 2023 – September 29, 2024

**4. Scope of Work:** The SFDPH subcontractor, Dr. Willi McFarland, will support project needs. Dr. McFarland will serve as Technical Lead on the Return to Care Campaign II as well as all KP and STI surveillance activities and will facilitate collaborations and involvement of SFDPH- and UCSF-based technical advisors. He will participate in conference call consultations, advise on development of materials, and will help facilitate in-country face-to-face technical assistance as needed.

**5. Method of Accountability:** Subrecipients are contractually required to report regularly on programmatic progress and financial status. UCSF routinely monitors subrecipient progress in all elements of the Scope of Work. Subcontract agreements at UCSF are established with "not to exceed" amounts, and payments are issued only upon receipt of invoices which are reviewed and approved by UCSF project staff.

**6. Itemized Budget and Justification:** See attached.

San Francisco Department of Public Health Subcontract

Budget Period: 9/30/2023-9/29/2024

Budget Name: Components 9-15 - CRO 1-7 Year 05 Budget

								Component 9: CRO 1 - ROP23	Component 10: CRO 2 - ROP23	Component 11: CRO 3 - ROP23	Component 12: CRO 4 - ROP23	
								25%	25%	25%	25%	
<b>A. Salaries and Wages</b>												
					(A)	(B)						
Personnel	Position Title	Current Salary	% effort	# mos.	Salary	Benefits	Total					
McFarland, Willi	Director of Surveillance	\$212,100	10%	12	\$21,210	\$7,689	\$28,899	\$7,225	\$7,225	\$7,225	\$7,225	
<b>Total Personnel</b>								\$0	\$0	\$0	\$0	
								\$0	\$0	\$0	\$0	
<b>Total Direct Costs</b>								\$28,899	\$7,225	\$7,225	\$7,225	\$7,225
Overhead at 24.678%								\$7,132	\$1,783	\$1,783	\$1,783	\$1,783
<b>Grand Total</b>								<b>\$36,030</b>	<b>\$9,008</b>	<b>\$9,008</b>	<b>\$9,008</b>	<b>\$9,008</b>

**Appendix A (Continued):  
San Francisco Department of Public Health (SFPDH):  
Detailed Budget and Justification**

**Salaries and Wages:****Total: \$21,210**

Staff Name	Position	Current Salary	% Effort	Mos	Total Requested	C9: CRO 1 - UCSF (ROP23)	C10: CRO 2 - UCSF (ROP23)	C11: CRO 3 - UCSF (ROP23)	C12: CRO 4 - UCSF (ROP23)
McFarland, Willi	Director of Surveillance	\$212,100	10%	12	\$21,210	\$5,303	\$5,303	\$5,303	\$5,303

**Willi McFarland, MD, PhD, MPH&TM**, Director of Surveillance, Professor and Faculty Advisor, UCSF and Director of the Center for Public Health Research at SFPDH, will serve as Technical Lead on the Return to Care Campaign II as well as all KP and STI surveillance activities and will facilitate collaborations and involvement of SFPDH- and UCSF-based technical advisors. He will participate in conference call consultations, advise on development of materials, and will help facilitate in-country face-to-face technical assistance as needed. We request 10% (\$21,210) salary support for this position for twelve months.

**Fringe Benefit:****Total: \$7,689**

The fringe benefit rate for this subcontract is calculated as follows:

Staff Name	Position	Total Requested Salary	% Benefit Rate	Total Fringe Benefits	C9: CRO 1 - UCSF (ROP23)	C10: CRO 2 - UCSF (ROP23)	C11: CRO 3 - UCSF (ROP23)	C12: CRO 4 - UCSF (ROP23)
McFarland, Willi	Director of Surveillance	\$21,210	36.25%	\$7,689	\$1,922	\$1,992	\$1,992	\$1,992

**Total Direct Costs****Total: \$28,899****Indirect Cost Rates:****Total: \$7,132**

The indirect cost rate is 24.678% of total direct expenses and is in compliance with the bilateral agreement between UCSF and SFPDH.

**Total Costs Requested:****Total \$36,030**



DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU2GGH002183-05-00  
FAIN# NU2GGH002183  
Federal Award Date: 09/19/2023

**Recipient Information**

**1. Recipient Name**

Regents of the University of California, San Francisco, The  
1855 Folsom St STE 425  
Regents Of The University Of California, San Francisco, The  
San Francisco, CA 94103-4249

**2. Congressional District of Recipient**  
12

**3. Payment System Identifier (ID)**  
1946036493A6

**4. Employer Identification Number (EIN)**  
946036493

**5. Data Universal Numbering System (DUNS)**  
094878337

**6. Recipient's Unique Entity Identifier (UEI)**  
KMH5K9V7S518

**7. Project Director or Principal Investigator**  
Dr. GEORGE WILLIAMS RUTHERFORD546030  
Professor  
George.Rutherford@ucsf.edu  
4154765781

**8. Authorized Official**

Ms. Magdalene Cho  
Contracts and Grants Officer  
maggie.cho@ucsf.edu  
415-502-8752

**Federal Agency Information**

CDC Office of Financial Resources

**9. Awarding Agency Contact Information**

Jenise Yawn  
Grants Management Officer  
koy5@cdc.gov  
770-488-2720

**10. Program Official Contact Information**

Patricia Akers  
Program Officer  
yrh4@cdc.gov  
4047184158

**Federal Award Information**

**11. Award Number**

5 NU2GGH002183-05-00

**12. Unique Federal Award Identification Number (FAIN)**

NU2GGH002183

**13. Statutory Authority**

42 USC 287b 31 USC 6305 42 CFR 63a

**14. Federal Award Project Title**

GH19-1951 Targeted HIV/TB Strategic Information Technical Assistance for President's Emergency Plan for AIDS Relief (PEPFAR) and Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) Countries

**15. Assistance Listing Number**

93.067

**16. Assistance Listing Program Title**

Global AIDS

**17. Award Action Type**

Non-Competing Continuation

**18. Is the Award R&D?**

No

**Summary Federal Award Financial Information**

**19. Budget Period Start Date** 09/30/2023 - **End Date** 09/29/2024

**20. Total Amount of Federal Funds Obligated by this Action**

20a. Direct Cost Amount  
20b. Indirect Cost Amount

**21. Authorized Carryover**

**22. Offset**

**23. Total Amount of Federal Funds Obligated this budget period**

**24. Total Approved Cost Sharing or Matching, where applicable**

**25. Total Federal and Non-Federal Approved this Budget Period**

**26. Period of Performance Start Date** 09/30/2019 - **End Date** 09/29/2024

**27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance**

**28. Authorized Treatment of Program Income**

ADDITIONAL COSTS

**29. Grants Management Officer - Signature**

Francis Muriithi  
Grants Management Officer

**30. Remarks**



DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention

Notice of Award

Award# 5 NU2GGH002183-05-00  
FAIN# NU2GGH002183  
Federal Award Date: 09/19/2023

<b>Recipient Information</b>
<p><b>Recipient Name</b> Regents of the University of California, San Francisco, The 1855 Folsom St STE 425 Regents Of The University Of California, San Francisco, The San Francisco, CA 94103-4249</p> <p><b>Congressional District of Recipient</b> 12</p> <p><b>Payment Account Number and Type</b> 1946036493A6</p> <p><b>Employer Identification Number (EIN) Data</b> 946036493</p> <p><b>Universal Numbering System (DUNS)</b> 094878337</p> <p><b>Recipient's Unique Entity Identifier (UEI)</b> KMH5K9V7S518</p>
<p><b>31. Assistance Type</b> Cooperative Agreement</p> <p><b>32. Type of Award</b> Demonstration</p>

<b>33. Approved Budget</b> (Excludes Direct Assistance)		
<p>I. Financial Assistance from the Federal Awarding Agency Only</p> <p>II. Total project costs including grant funds and all other financial participation</p>		
<p>a. Salaries and Wages</p> <p>b. Fringe Benefits</p> <p>c. Total Personnel Costs</p> <p>d. Equipment</p> <p>e. Supplies</p> <p>f. Travel</p> <p>g. Construction</p> <p>h. Other</p> <p>i. Contractual</p>		
<b>j. TOTAL DIRECT COSTS</b>		
<b>k. INDIRECT COSTS</b>		
<b>l. TOTAL APPROVED BUDGET</b>		
<b>m. Federal Share</b>		
<b>n. Non-Federal Share</b>		

**34. Accounting Classification Codes**

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-9390BHS	19NU2GGH002183WALC	GH	41.51	93.067		75-19-1822-1031-001
2-9390K8K	19NU2GGH002183WALC	GH	41.51	93.067		75-19-2226-1031-001
3-9390FLW	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2024-1031-001
3-9390FLX	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2024-1031-001
3-9390HDM	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2125-1031-001
3-9390K8K	19NU2GGH002183WALC	GH	41.51	93.067		75-19-2226-1031-001
3-9390HDN	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2125-1031-001
3-9390K8B	19NU2GGH00218319TZCO	GH	41.51	93.067		75-19-2226-1031-001
3-9390KU5	19NU2GGH002183WHCC	GH	41.51	93.067		75-2324-0955
3-9390DMC	19NU2GGH00218319TZCO	GH	41.51	93.067		75-19-1923-1031-001
3-9390K7K	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2226-1031-001
3-9390K7M	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2226-1031-001
3-9390LXW	19NU2GGH002183WHCC	GH	41.51	93.067		75-19-2327-1031-001
3-9390LY5	19NU2GGH002183WALC	GH	41.51	93.067		75-19-2327-1031-001
3-9390LYR	19NU2GGH002183DRCC	GH	41.51	93.067		75-19-2327-1031-001



**DEPARTMENT OF HEALTH AND HUMAN SERVICES** Notice of Award

Centers for Disease Control and Prevention

Award# 5 NU2GGH002183-05-00

FAIN# NU2GGH002183

Federal Award Date: 09/19/2023

**Direct Assistance**

BUDGET CATEGORIES	PREVIOUS AMOUNT (A)	AMOUNT THIS ACTION (B)	TOTAL (A + B)
Personnel	\$0.00	\$0.00	\$0.00
Fringe Benefits	\$0.00	\$0.00	\$0.00
Travel	\$0.00	\$0.00	\$0.00
Equipment	\$0.00	\$0.00	\$0.00
Supplies	\$0.00	\$0.00	\$0.00
Contractual	\$0.00	\$0.00	\$0.00
Construction	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$0.00	\$0.00

## AWARD ATTACHMENTS

Regents of the University of California, San Francisco, The

5 NU2GGH002183-05-00

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1. TERMS AND CONDITIONS\_YR05\_NON-COMPETING CONTINUATION
2. DGHT PROGRAMMATIC BUDGETARY COMMENTS AND RESTRICTIONS (PBCR) FORM (CRO)\_YR05\_NON-COMPETING CONTINUATION
3. DGHT PROGRAMMATIC BUDEGETARY COMMENTS AND RESTRICTIONS FORM (SIERRA LEONE)\_YR05\_NON-COMPETING CONTINUATION
4. DGHT PROGRAMMATIC BUDEGETARY COMMENTS AND RESTRICTIONS FORM (TANZANIA)\_YR05\_NON-COMPETING CONTINUATION
5. PROGRAMATIC BUDGET MARK-UP\_YR05\_NON-COMPETING CONTINUATION
6. CDC BUDGET PREPARATION GUIDELINES



Notice of Funding Opportunity (NOFO) number: **GH19-1951**

Award Number: **NU2GGH002183**

Award Type: **Cooperative Agreement**

#### AWARD INFORMATION

**INCORPORATION:** In addition to the federal laws, regulations, policies, and *CDC General Terms and Conditions* for Non-research awards at <https://www.cdc.gov/grants/federal-regulations-policies/index.html>, the *Centers for Disease Control and Prevention (CDC)* hereby incorporates *Notice of Funding Opportunity (NOFO)* number **GH19-1951**, entitled **Targeted HIV/TB Strategic Information Technical Assistance for President's Emergency Plan for AIDS Relief (PEPFAR) AND Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) Countries**, and application dated **May 12, 2023**, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the *Notice of Award (NoA)*.

**APPROVED FUNDING:** Funding in the amount of [REDACTED] is approved for the **Year 05** budget period, which is **September 30, 2023** through **September 29, 2024**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third-party in-kind contribution when applicable.

Note: Refer to the Payment Information section for Payment Management System (PMS) subaccount information.

**COMPONENT/PROJECT FUNDING:** The NOFO provides for the funding of multiple components under this award. The approved component funding levels for this notice of award are:

NOFO COMPONENT	AMOUNT
(1) Tanzania COP23 Q1 Activities	[REDACTED]
(2) Tanzania COP23 Q2 Activities	[REDACTED]
(9) CRO 1 – ROP23	[REDACTED]
(12) CRO 4 – ROP23	[REDACTED]
(16) Sierra Leone 1	[REDACTED]
(21) DRC Q1	[REDACTED]

The following component(s) are approved but unfunded:

NOFO COMPONENT	AMOUNT
(3) Tanzania COP23 Q3 Activities	[REDACTED]
(4) Tanzania COP23 Q4 Activities	[REDACTED]
(5) Tanzania COP23 Additional Activities 1	[REDACTED]
(6) Tanzania COP23 Additional Activities 2	[REDACTED]
(7) Tanzania COP23 Additional Activities 3	[REDACTED]
(8) Tanzania COP23 Additional Activities 4	[REDACTED]
(10) CRO 2 – ROP23	[REDACTED]
(11) CRO 3 – ROP23	[REDACTED]

(13) CRO 5 – ROP23	
(14) CRO 6 – GHSA 1	
(15) CRO 7 – GHSA 2	
(17) Sierra Leone 2	
(18) Sierra Leone 3	
(19) Sierra Leone – Additional COP23 Activities	
(20) Sierra Leone – Emerging Public Health Priorities	
(22) DRC Q3-4	
(23) Core SI Activities	

**WORKING CAPITAL METHOD:** Recipients are authorized to utilize a working capital method when drawing down funds under this award. The method authorizes recipients to draw down funds to cover obligations to be reconciled and the funds dispersed within 30 days of the date of the draw down.

**EXPANDED AUTHORITY FOR CARRYOVER OF COVID-19 FUNDING** (applies only to funds made available under the Coronavirus Preparedness and Response Supplemental Appropriations Act, 2020 (P.L. 116-123); the Coronavirus Aid, Relief, and Economic Security Act, 2020 (the “CARES Act”) (P.L. 116-136); and/or the American Rescue Plan of 2021 [P.L. 117-2] ): CDC has hereby invoked expanded authority for carryover of COVID-19 funding, allowing recipients to expend unobligated funds in a following budget period for any approved costs that fall within the scope and objectives of an approved project. Please be advised that activities/funds unrelated to COVID-19 are subject to prior approval, unless Federal regulations, statutes, award terms and conditions or CDC’s policies provide otherwise. Prior approval requests for non-research awards must be made in GrantSolutions Grants Management Module. Failure to obtain the required prior approval may result in the disallowance of costs, termination of the award, or other enforcement action within CDC’s authority.

**FINANCIAL ASSISTANCE MECHANISM:** Cooperative Agreement

**SUMMARY STATEMENT/TECHNICAL REVIEW:** Within five (5) days of the recipient of the Notice of Award (NoA), the *Summary Statement/Technical Review* will be accessible to the Recipient if GrantSolutions, Grant Notes. Contact the assigned Project Officer indicated in this NoA with any questions regarding this document or required follow-up requirements.

**SUBSTANTIAL INVOLVEMENT BY CDC:** This is a cooperative agreement, as defined by the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224, 31 USC 6301 et seq.). CDC will have substantial programmatic involvement after the award is made. Substantial involvement is in addition to all post-award monitoring, technical assistance, and performance reviews undertaken in the normal course of stewardship of federal funds and is not intended to gain stricter controls. CDC will coordinate, facilitate, collaborate and/or intervene to programmatically effectuate performance under this award, and recipients agree to the substantial involvement responsibilities enumerated in the applicable NOFO and

incorporated herein and further agree that additional substantial involvement responsibilities, not currently enumerated in the applicable NOFO, may be imposed.

Under a cooperative agreement, CDC is responsible for normal oversight and monitoring activities. Examples of normal oversight and monitoring activities are listed below:

1. Organize an orientation meeting with the recipient for a briefing on applicable U.S. Government, HHS/CDC, and PEPFAR expectations, regulations, and key management requirements, as well as report formats and contents. The orientation could include meetings with staff from HHS agencies and the Office of the U.S. Global AIDS Coordinator and Health Diplomacy (OGAC).
2. Review and approve recipient's annual work plan and detailed budget, as part of the PEPFAR COP review and approval process, managed by OGAC.
3. Review and approve the recipient's monitoring and evaluation plan, including for compliance with the strategic information guidance established by OGAC.
4. Meet on a regular basis with the recipient to assess expenditures in relation to approved work plan and modify plans as necessary.
5. Meet on a quarterly basis with the recipient to assess quarterly technical and financial progress reports and modify plans as necessary.
6. Meet on an annual basis with the recipient to review annual progress report for each U.S. Government Fiscal Year, and to review annual work plans and budgets for the subsequent year, as part of the PEPFAR COP review and approval process, managed by OGAC.
7. Provide technical oversight for all activities under this award.

Above and beyond the normal oversight and monitoring examples, CDC's substantial involvement includes, but is not limited to, the following activities:

1. Involvement in the review and selection of key personnel and/or post-award sub-contractors and/or sub-recipients to be involved in the activities performed under this agreement. This is solely limited to reviewing and making recommendations as necessary to the process used by the recipient to select key personnel and/or post-award sub-contractors and/or sub-recipients to be involved in the activities performed under this agreement, as part of the PEPFAR COP review and approval process, managed by OGAC.
2. Provide technical assistance, as mutually agreed upon, and revise annually in concert with the recipient during validation of the first and subsequent annual work plans. This could include expert technical assistance and targeted training activities in specialized areas, such as strategic information, project management, and confidential counseling and testing.
3. Provide in-country administrative support to help the recipient meet U.S. Government financial and reporting requirements approved by the Office of Management and Budget (OMB).
4. Collaborate with the recipient on designing and implementing the activities listed above, including, but not limited to: the provision of technical assistance to develop program activities, data management and analysis, quality assurance, the presentation and possibly publication of program results and findings, and the management and tracking of finances.
5. Provide technical assistance or advice on any data collections on 10 or more people that are planned or conducted by the recipient. All such data collections-- where CDC staff will be or are approving, directing, conducting, managing, or owning data-- must undergo OMB project determinations by CDC and may require OMB Paperwork Reduction Act of 1995 (PRA) clearance prior to the start of the project.

6. Provide continuous consultation and scientific and technical assistance based on appropriate HHS/CDC and OGAC documents to promote the use of best practices known at the time.
7. Assist the recipient in developing and implementing quality-assurance criteria and procedures.
8. Facilitate and/or participate in in-country planning and review meetings for technical assistance activities.
9. Conduct site visits through the Site Improvement through Monitoring System (SIMS), in compliance with PEPFAR requirements, to monitor and evaluate clinical and community service delivery site capacity to provide high-quality HIV/AIDS services in all program areas and 'above-site' capacity to perform supportive or systemic functions, by assessing and scoring key program area elements of site performance and collaborating strategically with the recipient on identified gaps and continuous quality improvement, which might include more thorough data quality or service quality assessments as indicated.
10. Coordinate with the recipient to ensure the recipient's Evaluation and Performance Measurement Plan is aligned with the strategic information guidance established by OGAC and other HHS/CDC requirements, including PEPFAR's Monitoring, Evaluation, and Reporting (MER) strategy, PEPFAR's Evaluation Standards of Practice, and CDC's Data for Partner Monitoring Program (DFPM).
11. Provide ethical reviews in order to direct and/or facilitate desired changes, as necessary, for evaluation activities, including from HHS/CDC headquarters. Evaluations can be process, outcome, or economic.
  - A. Process Evaluation: measures how the intervention was delivered, what worked/did not, differences between the intended population and the population served, and access to the intervention.
  - B. Outcome Evaluation: determines effects of intervention in target population(s) (e.g., change in knowledge, attitudes, behavior, capacity, etc.).
  - C. Economic Evaluation: justifies the investment and determines the efficiency and economic impact of interventions.
12. Supply the recipient with protocols for related evaluations.

As described in current Country Operational Plan (COP) guidance, quarterly performance thresholds should be monitored throughout the year. In addition to CDC's substantial involvement, the agency will conduct normal oversight and monitoring activities to effectuate program performance. Underperformance in achieving established programmatic targets may result in corrective action being taken as outlined in current COP guidance. Corrective action may include the implementation of a Performance Improvement Plan and a Corrective Action Plan (CAP) to assist recipients with meeting established programmatic targets. The agency will assess recipients' level of effort, including any preventative action taken, and any extenuating circumstances internal and external to the recipient when considering a Performance Improvement Plan and CAP.

Be advised that any changes made to the COP guidance re: substantial involvement and the monitoring of quarterly and annual performance PEPFAR targets will become effective and implemented in accordance with the revised/new COP guidance. These changes may impact the agency's substantial involvement and/or how it ensures the achievement of recipients' quarterly and annual PEPFAR targets.

The use of a Performance Improvement Plan and CAP does not replace or reduce the Federal regulations promulgated in 45 CFR § 75.371. If a recipient fails to comply with Federal statutes, regulations or the terms and conditions of its cooperative agreement, CDC or the pass-through entity may impose additional conditions, as described in 45 CFR § 75.207. If CDC or the pass-through entity determines that noncompliance cannot be remedied by imposing additional conditions, CDC or the pass-through entity may take one or more actions legally available.

**Use of Unobligated Funds:** This NoA includes use of **Year 02** unobligated funds in the amount of [REDACTED], which has been applied as an **offset** to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the **Year 02** Federal Financial Report (FFR) dated **December 30, 2022**. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**KEY PERSONNEL:** In addition to the Principal Investigator/Project Director identified in this Notice of Award, the application and work plan included individuals considered key personnel. In accordance 45 CFR Part 75.308, the recipient must request prior approval from CDC to change the following individual/position:

***Dr. George Williams Rutherford – PRINCIPAL INVESTIGATOR***  
***Magdalene Cho – AUTHORIZED BUSINESS OFFICIAL***

**BUDGET REVISION REQUIREMENT:** By **October 31, 2023** the recipient must submit a revised budget with a narrative justification [**SEE ATTACHED DGHT Programmatic Budgetary Comments and Restrictions (PBCR) Form**]. 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 contact the GMS/GMO identified in the CDC Staff Contacts section of this notice before the due date.

**PROGRAM INCOME:** Any program income generated under this grant or cooperative agreement will be used in accordance with the **Addition** alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

**FUNDING RESTRICTIONS AND LIMITATIONS**

**Notice of Funding Opportunity (NOFO) Restrictions:**

Please reference the *NOFO* guidance for all restrictions applicable to the implementation for this *Cooperative Agreement*.

**Human Subjects Restriction(s):**

NOT APPLICABLE

**Administrative Restriction(s) (OGS)**

NOT APPLICABLE

**Programmatic Restriction(s) (Program):**

NOT APPLICABLE

***RESTRICTED FUNDS CANNOT BE DRAWDOWN FROM PAYMENT MANAMGENT SYSTEM (PMS) UNTIL A REVISED NOTICE OF AWARD IS RECEIVED TO RELEASE THE FUNDS.***

**Indirect Costs:**

- Indirect costs are based on the negotiated indirect cost rate agreement dated **June 29, 2020**. The rates in this agreement are to be used for the entire *project period*, including any approved extensions, in accordance with 45 CFR Part 75, Appendix III. Indirect cost/facilities and administration rates for subcontracts will be treated in the same manner as those for the recipient, if the subcontractor is covered by 45 CFR Part 75, Appendix III.

**FOREIGN TAXES:** Pursuant to applicable grant regulations, foreign taxes charged for the purchase of goods or services that a non-federal entity is legally required to pay in country are an allowable expense under federal awards. For purposes of this term, foreign taxes include value-added taxes (VAT), customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in the funding agreement, which may include the purchase, import, use or re-export of goods or services.

The determination of whether such foreign taxes are an allowable expense will depend on whether an exemption or effective reimbursement mechanism exists in country. Effective reimbursement is defined as a reimbursement mechanism that provides for no less than substantial reimbursement of USG funds. Generally, such exemptions or rights to reimbursement are set forth in bilateral or other legal agreements between the United States Government (USG) and the host country.

1. **Countries where an exemption or right to reimbursement exists:**

In countries where a bilateral or other legal agreement sets forth an exemption, the recipient must take advantage of the exemption and may not pay taxes with award funds. If, however, the host country implements the exemption through a reimbursement mechanism, the recipient may pay the taxes with award funds but must request and receive the reimbursement, as those expenses are deemed an unallowable expense under the award. If the reimbursement mechanism is used, recipients should consult with the CDC project officer and the CDC grants management specialist to determine how the reimbursed funds should be handled. If reimbursement is requested but not received from the host country despite significant effort, so long as recipient provides sufficient documentation showing efforts to seek reimbursement to the CDC grants management specialist, the foreign tax payment will be an allowable expense.

2. **Countries where no exemption and/or no right to reimbursement exist:**

In countries where a) there is no bilateral or other legal agreement in force setting forth either an exemption or a right to reimbursement, b) a bilateral or other legal agreement is in force but does not provide for an exemption or a right to reimbursement, the recipient may pay foreign taxes with award funds. Such payments would be deemed allowable expenses.

3. **Countries where a specific bilateral agreement between the US and the host country (e.g., 1951 Bilateral Agreement between the US and the UK applicable to former UK territories; 1989 bilateral between the US and Swaziland) applies (Bahamas, India, Kenya, Suriname, Swaziland, Trinidad and Tobago, and Zambia):**

Consistent with the bilateral agreement, this Notice of Grant Award represents the implementing agreement required by the bilateral agreement for tax purposes. Pursuant to the specific bilateral agreement in force, the host country has agreed that USG funds (e.g., HHS/CDC funds, PEPFAR funds) provided to and utilized by recipient, as it carries out the program activities and objectives set forth in this implementing agreement, shall be free from taxes imposed under laws in effect in the host country. These tax exemptions on USG funds include, but are not limited to, the following:

a. Taxes, customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in this agreement, which may include the purchase, import, use or re-export of goods or services, including value-added taxes (VAT). Goods include, but are not limited to, commodities, equipment and supplies, including automobiles, which have been imported for the purpose of the funded program activities and objectives.

b. Taxes of a non-Resident organization on income allowed by HHS/CDC to be derived from HHS/CDC funding of program activities and objectives set forth in this agreement.

c. Taxation on personal income paid from HHS/CDC funds to employees of Recipient who pay taxes on their income to the United States Government; and

d. Should any conflict or disagreement about the above exemptions arise, Recipient agrees to promptly notify CDC (project officer or grants management officer) to work to resolve such matters, guided by the principle that the funding furnished by HHS/CDC is free from taxation.



**PROSTITUTION AND SEX TRAFFICKING (ITEMS 1 THROUGH 6):**

1. Consistent with Section 7631(e) of the U.S. Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003, 22 USC §§ 7601 et seq. (“the Leadership Act”), the U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
2. Additionally, consistent with Section 7631(f) of the Leadership Act, a prime recipient that is a non-U.S. nongovernmental organization acknowledges that, by accepting this award, it agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.
3. Contractors and subcontractors are exempt from the above requirements if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.
4. Notwithstanding the contract exemption above, not exempt from these provisions are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:
  - i. Providing supplies or services directly to the final populations receiving such supplies or services in host countries;
  - ii. Providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
  - iii. Providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient’s chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).
5. Subrecipients
  - i. Prime recipient shall insert the following provision in subawards or subcontracts: “None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.”
  - ii. Prime recipients shall insert the following provision in subawards or subcontracts subject to Section 7631(f) (i.e., those to non-U.S. nongovernmental organizations): “By accepting this award, the subrecipient/ subcontractor agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.”
6. The following definitions apply for purposes of the above provisions:
  - i. “Commercial sex act” means any sex act on account of which anything of value is given to or received by any person.
  - ii. “Prostitution” means procuring or providing any commercial sex act and the “practice of



prostitution” has the same meaning.

- iii. “Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by (HHS OPDIV) prior to the end of its term.

Any enforcement of this provision is subject to courts’ orders in Alliance for Open Society International v. USAID (See, e.g., S.D.N.Y. 05 Civ. 8209, Orders filed on January 30, 2015 and June 6, 2017, granting permanent injunction).

## REPORTING REQUIREMENTS

### REPORTING REQUIREMENTS ARE INCLUDED IN THE CDC GENERAL TERMS AND CONDITIONS

<https://www.cdc.gov/grants/federal-regulations-policies/index.html>

**Performance Progress and Monitoring:** Performance information collection initiated under this grant/cooperative agreement has been approved by the Office of Management and Budget under **OMB Number 0920-1132, “Performance Progress and Monitoring Report”, Expiration Date 03/31/2026.** The components of the PPMR are available for download at: <https://www.cdc.gov/grants/already-have-grant/Reporting.html>.

**REPORTING OF FOREIGN TAXES:** 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) of 2011 (United States foreign assistance funds). Outlined below are the specifics of this requirement:

- a. 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.]
- b. 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.
- c. Terms: For purposes of this clause:
  - i. Commodity means any material, article, supplies, goods, or equipment;
  - ii. Foreign government includes any foreign government entity;
  - iii. Foreign taxes means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

- d. Where: Submit the reports as a Grant Note in GMM. For information on how to submit a Grant Note, please reference this job aid: <https://www.grantsolutions.gov/support/public/pdf/QuickSheetNotesGrantees.pdf>
- e. Contents of Reports. The reports must contain:
  - i. recipient name;
  - ii. contact name with phone, fax, and e-mail;
  - iii. agreement number(s) if reporting by agreement(s);
  - iv. reporting period;
  - v. amount of foreign taxes assessed by each foreign government;
  - vi. amount of any foreign taxes reimburse by each foreign government;
  - vii. amount of foreign taxes unreimbursed by each foreign government.
- f. Sub-agreements. The recipient must include this reporting requirement in all applicable subgrants and other sub-agreements.

**REQUIRED DISCLOSURES FOR FEDERAL AWARDEE PERFORMANCE AND INTEGRITY INFORMATION SYSTEM (FAPIS):** Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the CDC, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the CDC and to the HHS OIG at the following addresses:

CDC, Office of Grants Services

**Jenise A. Yawn**, Grants Management Specialist

Centers for Disease Control and Prevention

**Branch 3**

Email: [koy5@cdc.gov](mailto:koy5@cdc.gov) (Include "Mandatory Grant Disclosures" in subject line)

AND

U.S. Department of Health and Human Services

Office of the Inspector General

ATTN: Mandatory Grant Disclosures, Intake Coordinator

330 Independence Avenue, SW

Cohen Building, Room 5527

Washington, DC 20201

Fax: (202)-205-0604 (Include "Mandatory Grant Disclosures" in subject line) or

Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Recipients must include this mandatory disclosure requirement in all subawards and contracts under this award.

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371. Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

CDC is required to report any termination of a federal award prior to the end of the period of performance due to material failure to comply with the terms and conditions of this award in the OMB-designated integrity and performance system accessible through SAM (currently FAPIIS). (45 CFR 75.372(b)) CDC must also notify the recipient if the federal award is terminated for failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. (45 CFR 75.373(b)).

#### PROGRAM OR FUNDING GENERAL REQUIREMENTS

**PEPFAR BRANDING:** All PEPFAR-funded programs or activities must adhere to PEPFAR branding guidance, which includes guidance on the use of the PEPFAR logo and/or written attribution to PEPFAR. PEPFAR branding guidance can be found at <https://www.state.gov/reports-pepfar/>.

#### PAYMENT INFORMATION

*The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hstips@oig.hhs.gov](mailto:hstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: OTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.*

**PAYMENT MANAGEMENT SYSTEM SUBACCOUNT:** Funds awarded in support of approved activities have been obligated in a subaccount in the PMS, herein identified as the “ Account”. Funds must be used in support of approved activities in the NOFO and the approved application.

This award contains funding from multiple components. The grant document number identified beginning on the bottom of Page 2 of the Notice of Award and component name, (and below subaccount title(s) ) must be known in order to draw down funds.

<b>Component Name: Tanzania COP23 Q1 Activities/Tanzania COP23 Q2 Activities</b>
--

<b>Document Number: 19NU2GGH00218319TZCO</b>
--

<b>Component Name: CRO 1 – ROP23/CRO 4 – ROP23</b>
--

<b>Document Number: 19NU2GGH002183WHCC</b>
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<b>Component Name: Sierra Leone 1</b>
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<b>Document Number: 19NU2GGH002183WALC</b>
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<b>Component Name: DRC Q1</b>
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<b>Document Number: 22NU2GGH002183DRCC</b>
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**EXCHANGE RATE:** All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC may not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

### **PROGRAM OR FUNDING SPECIFIC CLOSEOUT REQUIREMENTS**

**THE CLOSEOUT TERMS ARE INCLUDED IN THE GENERAL TERMS AND CONDITIONS**

at <https://www.cdc.gov/grants/federal-regulations-policies/index.html>

The final programmatic report format required is the following.

**FINAL PERFORMANCE PROGRESS AND EVALUATION REPORT:** This report should include the information specified in the NOFO and is submitted 90 days following the end of the period of performance via [www.grantsolutions.gov](http://www.grantsolutions.gov). At a minimum, the report will include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

Additional guidance may be provided by the GMS and found at: <https://www.cdc.gov/grants/already-have-grant/index.html>.

### **CDC STAFF CONTACTS**

**GRANTS MANAGEMENT SPECIALIST:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards.

**GMS Contact:**

**Jenise A. Yawn, Grants Management Specialist**

*Centers for Disease Control and Prevention*

*Office of Financial Resources (OFR)*

*Office of Grants Services (OGS)*

*Branch 3*

Telephone: 770.488.2720

Email: [koy5@cdc.gov](mailto:koy5@cdc.gov)

**Program/Project Officer:** The PO is the federal official responsible for monitoring the programmatic, scientific, and/or technical aspects of grants and cooperative agreements, as well as contributing to the effort of the award under cooperative agreements.

**Programmatic Contact:**

**Emily Strong, Project Officer**

*Centers for Disease Control and Prevention*

*Center for Global Health (CGH)*

*Division of Global HIV and TB (DGHT)*

Telephone: 404.718.8292

Email: [wrs8@cdc.gov](mailto:wrs8@cdc.gov)

**GRANTS MANAGEMENT OFFICER:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards. The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

**Francis Muriithi, Grants Management Officer**

*Centers for Disease Control and Prevention*

*Office of Financial Resources (OFR)*

*Office of Grants Services (OGS)*

*Branch 3*

Telephone: 770.488.3160

Email: [ifd4@cdc.gov](mailto:ifd4@cdc.gov)

## DGHT Programmatic Budgetary Comments and Restrictions (PBCR) Form

### GENERAL COAG INFORMATION

Country or HQ Branch:	HQ
Recipient:	UCSF-SIQHIL
CoAg Award #/NOFO #:	GH002183 / GH19-1951
Type of Action:	<input checked="" type="checkbox"/> Year 5 Continuation <input type="checkbox"/> New Award

### Programmatic Budgetary Comments

Note: Programmatic budget restrictions, concerns, and comments should be documented and shared prior to the award being made. For new awards, these comments can be shared during/after the OGS Budget Discussion call.

#### Continuation/New Award Budget Review – Project Officer Certification (select one)

This box signifies the Project Officer's official review of the applicant's proposed budget. PBEMB will consider this form to be incomplete if this box is left unchecked. The recommended budget should be documented in the Continuation/New Award Budget Mark-Up Excel document submitted as part of the funding package.

I certify that I support the recipient's proposed component budget submitted in this application as it relates to the technical aspects of the project. No changes are required.

A revised budget is required to address the programmatic budgetary comments below.

*Please use bullets and reference your comments with page numbers from the recipient budget. Identify the component(s) to be revised.*

1. Page 40 - CVC Procurement Officer - the monthly salary \$1,201 seems much lower than other salaries listed. Please confirm this is not an error.
2. Page 56 - ROP23 approved budget ceiling is \$2,479,774. Components CRO 1-4 total 2,478,724. \$1,500 additional funding should be added to support the Jamaica activity - "MER Indicators - Continue previous indicator data capture and review; Measure implementation - Develop and implement metrics to measure program implementation for each key program activity; DQA".
3. Page 64 – Supplies – Includes 2 activities – UCSF Program Planning Review and RHA Workshops Adherence, Retention Planning, at \$329 per attendee. Clarify supplies
  - a. Please confirm activities are to support supplies, and should not be categorized as "Other"?
  - b. Please provide more details of supplies requested, and how the cost of \$329 per attendee was derived.
4. Page 74 - CHARES team building (\$8,000). Please provide more justification on how this activity is relevant and allocable to the CDC CoAg/ ROP23 activities and targets
5. Please prepare and include budget arrayed by PEPFAR interventions (Program Area + Beneficiary) – ideally showing the budget elements that contribute to each intervention - for ROP23 approved budget only. (Note: PEPFAR cost category breakdown is not required).

## Programmatic Restrictions

### Programmatic Restrictions (select one):

- No programmatic restrictions are recommended with this action.  
 Programmatic restrictions are recommended, as outlined below.

List programmatic restriction amounts by Object Class Category in table below (if applicable). Do not put potential human subjects or IRB restrictions or conditions in this section.

#### PLEASE NOTE BEFORE COMPLETING RESTRICTIONS:

- When possible, the response to TR should be used as a management tool, as opposed to restricting funds. **Funds should only be restricted when absolutely necessary.**
- **REMEMBER:** Only include programmatic restrictions that should be put in place for the funding components that will be awarded at this time. If future restrictions are needed, they can be added once future funding components are awarded.

*Please use bullets and reference your comments with page numbers from the recipient budget. Identify the component(s) impacted.*

Object Classification	Programmatic Restriction Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
Total	\$0

Not Applicable

# DGHT Programmatic Budgetary Comments and Restrictions (PBCR) Form

## GENERAL COAG INFORMATION





## Programmatic Restrictions

### Programmatic Restrictions (select one):

- No programmatic restrictions are recommended with this action.  
 Programmatic restrictions are recommended, as outlined below.

List programmatic restriction amounts by Object Class Category in table below (if applicable). Do not put potential human subjects or IRB restrictions or conditions in this section.

#### PLEASE NOTE BEFORE COMPLETING RESTRICTIONS:

- When possible, the response to TR should be used as a management tool, as opposed to restricting funds. **Funds should only be restricted when absolutely necessary.**
- **REMEMBER:** Only include programmatic restrictions that should be put in place for the funding components that will be awarded at this time. If future restrictions are needed, they can be added once future funding components are awarded.

*Please use bullets and reference your comments with page numbers from the recipient budget. Identify the component(s) impacted.*

Object Classification	Programmatic Restriction Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
Total	\$ 0

Large empty area for providing programmatic restriction details, including a dotted border for text entry.

# DGHT Programmatic Budgetary Comments and Restrictions (PBCR) Form

## GENERAL COAG INFORMATION



## Programmatic Restrictions

### Programmatic Restrictions (select one):

- No programmatic restrictions are recommended with this action.  
 Programmatic restrictions are recommended, as outlined below.

List programmatic restriction amounts by Object Class Category in table below (if applicable). Do not put potential human subjects or IRB restrictions or conditions in this section.

#### PLEASE NOTE BEFORE COMPLETING RESTRICTIONS:

- When possible, the response to TR should be used as a management tool, as opposed to restricting funds. **Funds should only be restricted when absolutely necessary.**
- **REMEMBER:** Only include programmatic restrictions that should be put in place for the funding components that will be awarded at this time. If future restrictions are needed, they can be added once future funding components are awarded.

*Please use bullets and reference your comments with page numbers from the recipient budget. Identify the component(s) impacted.*

Object Classification	Programmatic Restriction Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
Total	\$0

GrantSolutions Grants Management Module (GMM) Project Officer Budget Mark-Up (BMU)					
Funding Category	Recipient Requested Funding Amount	Budget Period Ceiling	Available Funding	Justification for Available New Funding Amount	Approved Future Funding
Personnel				<p>Available funding is being awarded. Future funding will be awarded pending availability and/or performance</p>	
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Facilities/Construction					
Other					
<b>TOTAL Direct Charges</b>					
Indirect Charges					
<b>TOTALS</b>					

**REGENTS OF THE UNIVERSITY OF CALIFORNIA, SAN FRANCISCO**

**YR05 NON-COMPETING CONTINUATION**

NAME	ADDRESS	CITY	STATE	ZIP	PHONE	EMAIL	ORGANIZATION	POSITION	START DATE	END DATE	STATUS	REMARKS
[REDACTED]												

**NUZGGHUUZ183 REGENTS OF THE UNIVERSITY OF CALIFORNIA, SAN FRANCISCO**

**YR05 NON-COMPETING CONTINUATION**

	REGENT'S NAME	REGENT'S TITLE	REGENT'S INSTITUTION	REGENT'S ADDRESS
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**NUZGGHUUZ183 REGENTS OF THE UNIVERSITY OF CALIFORNIA, SAN FRANCISCO**

**YR05 NON-COMPETING CONTINUATION**




**NUZGGHUUZ183 REGENTS OF THE UNIVERSITY OF CALIFORNIA, SAN FRANCISCO**

**YR05 NON-COMPETING CONTINUATION**





# Budget Preparation Guidelines

## Procurement and Grants Office (PGO)

Preparing a budget can be one of the most confusing aspects of applying for a CDC grant or cooperative agreement. This document provides guidance for the preparation of a budget request and examples to help with the process. Adherence to this guidance will facilitate timely review and approval of a budget request.

### Salaries and Wages

For each requested position, provide the following information: 1) name of staff member occupying the position, if available; 2) annual salary; 3) percentage of time budgeted for this program; 4) total months of salary budgeted; and 5) total salary requested. Also, provide a justification and describe the scope of responsibility for each position, relating it to the accomplishment of program objectives.

#### Sample Budget

Position Title and Name	Annual Salary	Time	Months	Amount Requested
<i>Project Coordinator Susan Taylor</i>	<i>\$45,000</i>	<i>100%</i>	<i>12 months</i>	<i>\$45,000</i>
<i>Finance Administrator John Johnson</i>	<i>\$28,500</i>	<i>50%</i>	<i>12 months</i>	<i>\$14,250</i>
<i>Outreach Supervisor (Vacant*)</i>	<i>\$27,000</i>	<i>100%</i>	<i>12 months</i>	<i>\$27,000</i>
<b>Total Personnel</b>				<b>\$86,250</b>

#### Sample Justification

The format may vary, but the description of responsibilities should be directly related to specific program objectives.

Job Description: Project Coordinator – (Susan Taylor)

This position directs the overall operation of the project including overseeing the implementation of project activities, coordination with other agencies, development of materials, provisions of service and training, collects, tabulates and interprets required data, program evaluation and staff performance evaluation. This individual is the responsible authority for ensuring reports and documentation are submitted to CDC. This position relates to all program objectives.

### Fringe Benefits

Fringe benefits are usually applicable to direct salaries and wages. Provide information on the rate of fringe benefits used and the basis for their calculation. If a fringe benefit rate is not used, itemize how the fringe benefit amount is computed.



## Sample Budget

Fringe benefits computed by an established rate.

*Fringe Benefits Total* \$ \_\_\_\_\_ *25% of Total salaries = Fringe Benefits*

If fringe benefits are not calculated using a percentage of salaries, itemize how the amount is determined for each salary and wage being requested.

### Project Coordinator Salary - \$45,000

Fringe Benefit	Percentage of Salary	Amount Requested
Retirement	5%	\$2,250
FICA	7.65%	\$3,443
Insurance	N/A	\$2,000
Workers Compensation	N/A	\$
<b>Total Fringe</b>		<b>\$7,693</b>

## Consultant Costs

This category should be used when hiring an individual to give professional advice or services (e.g., training, expert consultant, etc.) for a fee, but not as an employee of the grantee organization. Written approval must be obtained from CDC prior to establishing a written agreement for consultant services, and must be obtained annually in order to re-establish the written agreement. Approval to initiate or continue program activities through the services of a consultant requires submission of the following information to CDC for each consultant:

- Name of Consultant:** Identify the name of the consultant and describe his or her qualifications.
- Organizational Affiliation** (if applicable): Identify the organization affiliation of the consultant.
- Nature of Services to Be Rendered:** Describe the consultation that will be provided, including the specific tasks to be completed and specific deliverables. A copy of the actual consultant agreement should not be sent to CDC.
- Relevance of Service to the Project:** Describe how the consultant services relate to the accomplishment of specific program objectives.
- Number of Days of Consultation** (basis for fee): Specify the total number of days of consultation.
- Expected Rate of Compensation:** Specify the rate of compensation for the consultant (e.g., rate per hour, rate per day). Include a budget showing other costs (e.g., travel, per diem, supplies, and other related expenses) and list a subtotal.
- Method of Accountability:** Describe how the progress and performance of the consultant will be monitored. Identify who is responsible for supervising the consultant agreement.

If the required information described above is not known at the time the application is submitted, the information may be submitted later as a revision to the budget. In the body of the budget request, a summary should be provided of the proposed consultants and amounts for each.

## Equipment

Equipment is defined as tangible, non-expendable personal property (including exempt property) that has a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. . However, in circumstances where your organization has a lower threshold, you may work with your CDC Grants Management Officer to establish a threshold that is consistent with your organization's policy.

All budget requests should individually list each item requested, and provide the following information: 1) number needed; 2) unit cost of each item; and 3) total amount requested. Also, provide a justification for the use of each item and relate it to specific program objectives. Maintenance or rental fees for equipment should be shown in the *Other* category.

### Sample Budget

Item Requested	Number Needed	Unit Cost	Amount Requested
Computer Workstation	2 ea.	\$5,500	\$11,000
Computer	1 ea.	\$6,000	\$6,000
<b>Total Equipment</b>			<b>\$17,000</b>

### Sample Justification

The computer workstations will be used by the principal investigator and statistician to collect required data, perform data analysis, and generate reports. These computers will also support the daily operation of the project, routine correspondence, research, and electronic communication.

## Supplies

Individually list each item requested, and provide the following information: 1) specify the type of item, as appropriate; 2) number needed; 3) unit cost of each item; and 4) total amount requested. If appropriate, General office supplies may be shown by an estimated amount per month times the number of months in the budget category. Also, provide a justification for the use of each item and relate it to specific program objectives.

### Sample Budget

Item Requested	Type	Number Needed	Unit Cost	Amount Requested
Computer Workstation	(Specify type)	3 ea.	\$2,500	\$7,500
Word Processing Supplies	(Specify type)	1 ea.	\$400	\$400
Educational Pamphlets	N/A	3,000 copies	\$1	\$3,000
General Office Supplies	Pens, pencils, paper	12 months	\$20/month per person for 10 people	\$2,400
<b>Total Supplies</b>				<b>\$19,900</b>

### Sample Justification

Office supplies will be used by staff members to carry out daily activities of the program. The education pamphlets and videos will be purchased from Vendor X and used to illustrate and promote safe and healthy activities. Word Processing Software will be used to document program activities, process progress reports, etc.

## Travel

Dollars requested in the Travel category should be for **recipient staff travel only**. Travel for consultants should be shown in the Consultant category. Travel for other participants (e.g., advisory committees, review panel, etc.) should be itemized as specified below and placed on the *Other* category.

For In-State Travel, provide a narrative justification describing the travel staff members will perform. List where travel will be undertaken, number of trips planned, who will be making the trips, and approximate dates. If mileage is to be paid, provide the number of miles and the cost per mile. If travel is by air, provide the estimated cost of airfare. If per diem/lodging is to be paid, indicate the number of days and amount of daily per diem, as well as the number of nights and estimated cost of lodging. Include the cost of ground transportation, when applicable.

For Out-of-State Travel, provide a narrative justification including the same information requested above. Include CDC meetings, conferences, and workshops, if required by CDC. Itemize Out-of-State Travel in the format described above for In-State Travel.

### Sample Travel Budget

Travel (In-State and Out-of-State)

Total \$ \_\_\_\_\_

#### Sample In-State Travel Budget

Travel (In-State): Total \$ \_\_\_\_\_

Number of Trips	Number of People	Cost of Airfare	Number of Total Miles	Cost per Mile	Amount Requested
1	2	N/A	500 mi.	\$0.27	\$270
25	1	N/A	300 mi.	\$0.27	\$2,025
<b>Total</b>					<b>\$2,295</b>

Per Diem or Lodging	Number of People	Number of Units	Unit Cost	Amount Requested
Per Diem	2	2 days	\$37/day	\$148
Lodging	2	1 night	\$67/night	\$134
<b>Total</b>				<b>\$282</b>

#### Sample In-State Travel Justification

The Project Coordinator and the Outreach Supervisor will travel to (location) to attend AIDS conference. The Project Coordinator will make an estimated 25 trips to local outreach sites to monitor program implementation.

**Sample Out-of-State Travel Budget**

Travel (Out of-State): Total \$\_\_\_\_\_

Number of Trips	Number of People	Cost of Airfare	Number of Total Miles	Cost per Mile	Amount Requested
1	1	\$500	N/A	N/A	\$500

Per Diem or Lodging	Number of People	Number of Units	Unit Cost	Amount Requested
<i>Per Diem</i>	1	3 days	\$45/day	\$135
<i>Lodging</i>	1	1 night	\$88/night	\$88

Ground Transportation?	Number of People	Amount Requested
Yes	1	\$50

**Sample Out-of-State Travel Justification**

The Project Coordinator will travel to CDC, in Atlanta, GA to attend the CDC conference.

**Other**

This category contains items not included in the previous budget categories. Individually list each item requested and provide appropriate justification related to the program objectives.

**Sample Budget**

Item Requested	Number of Months	Estimated Cost per Month	Number of Staff	Amount Requested
<i>Telephone</i>		\$		\$
<i>Postage</i>		\$		\$
<i>Equipment Rental</i>		\$	N/A	\$
<i>Internet Provider Service</i>		\$	N/A	\$
<b>Total Other</b>				\$

Item Requested	Number Needed	Unit Cost	Amount Requested
<i>Printing</i>	___ documents	\$	\$

**Sample Justification**

For printing costs, identify the types and number of copies of documents to be printed (e.g., procedure manuals, annual reports, materials for media campaign).

## Contractual Costs

Cooperative Agreement recipients must obtain written approval from CDC prior to establishing a third-party contract to perform program activities. Approval by CDC to utilize funds and initiate program activities through the services of a contractor requires the submission of the following information for each contract to CDC:

1. **Name of Contractor:** Identify the name of the proposed contractor and indicate whether the contract is with an institution or organization.
2. **Method of Selection:** State whether the contract is sole source or competitive bid. If an organization is the sole source for the contract, include an explanation as to why this institution is the only one able to perform contract services.
3. **Period of Performance:** Specify the beginning and ending dates of the contract.
4. **Scope of Work:** Describe the specific services/tasks to be performed by the contractor and relate them to the accomplishment of program objectives. Deliverables should be clearly defined.
5. **Method of Accountability:** Describe how the progress and performance of the contractor will be monitored during and on close of the contract period. Identify who will be responsible for supervising the contract.
6. **Itemized Budget and Justification:** Provide an itemized budget with appropriate justification. If applicable, include any indirect cost paid under the contract and the indirect cost rate used.

If the information described above is not known at the time the application is submitted, the information may be submitted later as a revision to the budget. Copies of the actual contracts should not be sent to CDC, unless specifically requested. In the body of the budget request, a summary should be provided of the proposed contracts and amounts for each.

## Direct Costs

Show the direct costs by listing the totals of each category, including salaries and wages, fringe benefits, consultant costs, equipment, supplies, travel, other, and contractual costs. Provide the total direct costs within the budget.

## Indirect Costs

To claim indirect costs, the applicant organization must have a current approved indirect cost rate agreement established with the cognizant federal agency. A copy of the most recent indirect cost rate agreement must be provided with the application.

If the applicant organization does not have an approved indirect cost rate agreement, costs normally identified as indirect costs (overhead costs) can be budgeted and identified as direct costs