

A grayscale photograph of four young women of diverse backgrounds gathered around a book. They are all looking at the book with interest and engagement. The woman on the far right is smiling broadly. The image is semi-transparent, serving as a background for the text.

# Global Health Proposal Guidelines

# PREFACE

## Proposal Evaluation & Review

The foundation believes that every person should have the opportunity to live a healthy, productive life. In the Global Health Program, we work to ensure that lifesaving advances are created and shared with those who need them most. We consider proposals that address diseases and conditions that cause a high burden of disease in the developing world.

The foundation evaluates proposals according to the principles listed below. While these principles form the basis for foundation thought, not all principles are applicable to all projects. In some cases certain principles may not be appropriate due to the nature of the project or the type of activities needed to reach the goal.

**Catalytic:** Will our investment allow key barriers to be overcome so that others can continue the work of addressing the health issue and advancing the field?

**Innovative:** Will the project test new ideas, approaches, technologies, or tools? Will it use novel approaches to solve problems, and develop models that allow for replication and scaling-up?

**Evidence-based:** Does the project apply credible data, information, and knowledge to solve the greatest problems in global health? Will the project create, build, and apply this knowledge base to reduce suffering in the neediest populations?

**Intellectual Rigor:** Will the project take advantage of the best learning in the field? Is there a clear case for why this is the best approach? Is the proposed approach likely to yield the described result? Is this an efficient use of resources?

**Sustainable:** Will the project create solutions that can be continued after the grant is finished?

**Significant:** Will the project result in changes that will advance the field and benefit those most in need?

**Collaborative:** Will the project bring together organizations and institutions and take advantage of their experience and expertise?

**Learning:** Will the project plan for impact, measure results, and respond to what is working and what isn't?

**Equity:** Does the project address the needs of the world's poorest people, those earning less than \$2 per day, who suffer disproportionately from disease?

In addition to the principles outlined above, the following information is also critical to the evaluation of the project:

### Project Framework

The foundation will review the overall goal of the project and how it contributes to the foundation's strategic area of focus, e.g., HIV, reproductive health, new technologies, etc. The project should have clear, specific objectives that can be accomplished through a defined set of activities. Clear indicators should be identified to assess progress against the goal and objectives along with a monitoring and evaluation plan to show how the indicators will be measured. Assumptions that are

inherent in the project plan will also need to be identified so that the foundation can understand the factors outside of the direct control of the project that may impact its success

#### **Organization and Leadership Qualifications**

The foundation will assess the ability of the organization (and department, if applicable) to carry out the project. Sufficient information should be provided to show how the mission and capabilities of the organization will support the proposed work.

The project leadership will be assessed to determine if the capacity, experience and expertise is appropriate to successfully manage the project.

#### **Budget**

The foundation will evaluate the efficiency and reasonableness of the budget in the context of the proposed goal and objectives.

## **Proposal Review Process**

Proposals will generally go through the following review process:

#### **Preliminary Review**

Internal staff screens the proposal to determine consistency with guiding principles and relevance to Global Health areas of focus.

#### **Intermediate Review**

Programmatic reviews are conducted by both internal and external experts. Foundation staff will work with the applicant to ensure alignment with the strategic direction of the Global Health Program. Compliance reviews are also conducted to ensure that legal and administrative requirements are met.

#### **Final Review**

The proposal is submitted to appropriate executive team members for final review along with a program staff analysis and recommendation.

## **Feedback**

Your feedback is important to us. The proposal guidelines are designed to allow you to accurately present your proposal so that foundation staff can evaluate projects against the strategic areas of focus and the principles outlined above. In an effort to make sure that the guidelines are meeting the needs of our applicants we encourage you to provide us with feedback. We will review your comments so we can learn how to better meet the needs of applicants while allowing timely review of proposals. Please send your comments to the following address:

[proposalguidelinesfeedback@gatesfoundation.org](mailto:proposalguidelinesfeedback@gatesfoundation.org)

# Global Health Proposal Guidelines

## Formatting

All Global Health project proposals except for conference proposals must use the application form provided. We ask that proposals be concise and in proportion to the complexity of the project. The narrative should be no more than 20 pages single spaced excluding the proposal information page, table of contents, appendices, and modules. Please read through this entire document before beginning your proposal.

Please use U.S. letter page formatting (8.5 x 11.0 inches), 10-point font, one-inch margins, and include your organization's name in the footer. Due to tax, legal, and reporting requirements, all grant proposals must be submitted in English. Under limited circumstances, Web links to selected information may be provided; however there is no assurance the reviewers will visit the sites. For this reason, please include all critically necessary information in the body of the proposal.

## Proposal Information

Please provide the requested information regarding the applicant organization, primary contacts, and proposed project.

## Table of Contents

Include a Table of Contents based on the following format:

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## I. Charitable Purpose

In one sentence please describe how this project will help the foundation meet its charitable objectives. For example: *“to develop and license an improved vaccine against tuberculosis for use in high burden countries”* or *“to promote evidence-based decision making in designing maternal, neonatal and child health interventions in low- and middle-income countries”*.

## II. Executive Summary

Briefly summarize the project in no more than one page according to the following outline:

- Technical Approach
- Project goal, objectives and critical milestones
- Organizational capacity/management plan

## III. Technical Approach

Provide a brief overview of the prior work leading to your project and any preliminary data that is relevant to your proposed work. Please clearly describe what the current status of your approach or technology and what advances you anticipate achieving as part of the funding requested. As part of your invitation to submit a proposal you received a number of questions regarding your LOI. We strongly encourage you to clearly address the issues identified in those questions in this section of the proposal.

## IV. Project Framework

This section requests information about your proposed project beginning with a high-level presentation of the strategy in a simple Project Framework Table followed by a narrative section to provide more details on the objectives and activities.

### Project Framework Table

	<b>Critical Milestones and Metrics of Success</b>	<b>Cost</b>
<b><u>Objective 1:</u></b> The major components of the project required to achieve the project goal.	Quantitative or qualitative measures for assessing progress and/or impact of the objectives. This should include at least one critical milestone for each objective.	Indicate the total cost of completing this objective.
<b><u>Objective 2:</u></b> The major components of the project required to achieve the project goal.	Quantitative or qualitative measures for assessing progress and/or impact of the objectives. This should include at least one critical milestone for each objective.	Indicate the total cost of completing this objective.
<b><u>Objective N:</u></b> The major components of the project required to achieve the project goal.	Quantitative or qualitative measures for assessing progress and/or impact of the objectives. This should include at least one critical milestone for each objective.	Indicate the total cost of completing this objective.

### A. How to Complete the Project Framework Table

The purpose of the Project Framework Table is to provide a high-level summary of the project and it should be no more than 1 page in length.

Define the **objectives** that must be completed to achieve your project goal; then summarize the **Critical Milestones** that reflect the tasks required to fulfill each of the objectives and the **Metrics of Success** for these Milestones.

Your project will include two types of milestones: critical milestones and activity milestones. Progress against the objectives should be measured by clearly described **critical milestones** that are identified with specific dates and specific measurable indicators. Critical milestones will be the primary vehicle by which the foundation will monitor your project on an annual basis. At a minimum, each objective will have at least one clearly defined critical milestone that defines completion of the objective; a critical milestone may also include interim checkpoints for monitoring progress against objectives. If the project is approved for funding, critical milestones will form part of the agreement with the foundation regarding the execution of the project and changes to them can only be made with prior approval of the foundation. **Activity milestones** represent the full set of events that are required to manage the progress of the activities. They should provide a clear plan for the execution of the project, allocating responsibilities amongst the project team, and providing measurable intermediate and final status points for the activities. Please do not include the activity milestones in the Project Framework Table. Activity milestones will be requested as part of the Milestone Table (Appendix A).

## **B. Project Framework Narrative**

The purpose of the Project Framework Narrative is to provide more specific details about the project plan. Using the Project Framework Table as a reference describe each objective using the following format.

**Objective # (1, 2, 3, etc.):** Title

### **Description & Assumptions**

Provide a description of the objective and how it contributes to the project goal. Following the description, list the assumptions you have considered in developing the objective. Describe any anticipated implementation challenges and what strategies might be used to overcome these challenges. If in the context of your project it makes more sense to discuss challenges for all objectives collectively rather than by each objective then please do so at the end of this section. Objectives are intended to form the basis of the agreement between the foundation and the grantee with regard to the content of the project. If your proposal is approved, any quantitative or qualitative changes to the objective or critical milestones, including timing, will require advance approval by the foundation.

### **Activities**

It is assumed that the successful execution of each objective will require the completion of at least one, and sometimes many, coordinated activities. Provide a description of the activity or group of activities and how they will contribute to the achievement of the objective being described. Activity milestones do not need to be described here but should be illustrated in Appendix A.

### **Metrics of Success/Critical Milestones**

Describe the metrics of success including critical milestones that will be used to quantitatively measure or qualitatively judge the progress or impact related to the objective. Critical milestones should represent significant events or developments that indicate progress against the objective and may refer to specific deliverables, arrival at key decision points, or the completion point of critical experiments that were intended to provide new insight and knowledge. Each objective will have at least one critical milestone.

### **Monitoring & Evaluation Plan**

Describe how and when progress against the milestones for this objective will be monitored. If your project is structured in a way that it makes more sense to write the monitoring & evaluation

plan for all objectives collectively, then do so at the end of this section and clearly state how the overall plan relates to the objectives and activities.

## V. Sustainability

**You do not need to provide any response to this section as part of the Diagnostics RFP**

## VI. Organizational Capacity and Management Capability

### A. Organizational Capacity and Facilities

Provide a brief description of:

1. The organization's history, mission, and comparative advantage to implement this project. (If a consortium is submitting the proposal, please provide this information for each organization in the consortium.)
2. Previous experience in developing, implementing, and managing projects in the geographical and technical areas proposed. (If a consortium is submitting the proposal, please provide this information for each organization in the consortium.)
3. If there is a parent or administering institution to which the team undertaking this project will report, please describe any specific support required by the institution for implementation of the project and confirm that it will be provided.
4. Describe the facilities, resources and equipment available for the proposed project at all participating sites. Provide enough detail to guarantee the infrastructure is sufficient to allow the project to be carried out including the accounting systems and ability to make and supervise sub-grants and contracts. (If a consortium is submitting the proposal, please provide this information for each organization in the consortium.)
5. If the project will take place in multiple sites, describe the capacities and capabilities in each site. Where limited infrastructure or remote locales are critical, please describe any specific measures that will be implemented to ensure the project is effectively managed.

### B. Management and Staffing Plan for this Project

1. Explain the management structure and plans for administering the project. Describe the capability of the management team (including any key proposed subcontractors and/or sub-grantees) to administer this project. Specifically discuss the principal investigator/project director and key management staff for the project including prior experience managing similar projects.
2. Please provide an overview of decision making plans and processes. (If a consortium is submitting the proposal, please provide this information for each organization in the consortium.)
3. If the project will involve activities conducted by consortia members, subgrantees, subcontractors, or other participating companies or institutions (either anticipated or known, even if they will not be receiving any grant funds), please provide: (a) A list of the organizations that will be involved; and (b) A description of your anticipated approach to furthering the Global Access Objectives (see page 7) in the context of your project's collaboration agreements (if applicable) and management structures.
4. Include an organizational chart for project staff (if there is a larger organization – of which this project is a part – or a consortium, please provide an organizational chart or explanation for how this project fits into the larger group). The individuals in the organizational chart also need to be reflected in the Budget Narrative and Budget spreadsheet.

5. For the purposes of managing technologies or assisting in product development please describe the resources (individual skill sets, organizational capacity, funding, etc.) that will be available to the project other than scientific expertise in anticipation of fulfilling the long-term Global Access Objectives (e.g., business, legal, advocacy etc.).

6. If the proposed project involves a portfolio of technologies or products, please describe how portfolio decisions will be made (e.g., with respect to adding and removing components within the portfolio).

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*Citations, Appendices and Modules do not count against the 20-page limit.*

## VII. Citations

List any critical references to your work or the work of others that support your project's approach. References must include the title, names of all authors, book or journal, volume number, page numbers, and year of publication. References should be limited to the relevant literature.

## VIII. Appendices

*Please do not include additional appendices beyond the materials requested under sections A-E below unless requested by Global Health program staff.*

### A Milestone Summary Table and Timeline Table

Use Table A.1 in the [milestone template](#) to list all activities, activity milestones, and critical milestones by objective. Use Table A.2 to illustrate the projected timeline for meeting these milestones and help monitor progress over the project lifetime. Alternatively, you may provide the information requested in Appendix A using the project management software application of your choice in an appropriately readable format.

### B. Budget Spreadsheet

Use the [budget spreadsheet](#) provided to illustrate the costs of the project. Please note this template will also be required for sub-grants and sub-contracts in excess of \$1 million USD unless otherwise directed by your Program Officer. You are also responsible for ensuring that your sub-contractors and sub-grantees are aware of the foundation's [indirect cost policy](#). [Click here](#) to see an example of a completed budget spreadsheet.

### C. Budget Narrative

The purpose of the [budget narrative](#) is to supplement the information provided in the budget spreadsheet by justifying how the budget cost elements are necessary to accomplish the project objectives. The budget narrative is a tool to help the foundation staff fully understand the budgetary needs of the applicant and is an opportunity to provide descriptive information about the costs beyond the constraints of the budget template. Together, the budget narrative and budget spreadsheets should provide a complete financial and qualitative description that supports the proposed project plan.

### D. Biographical Information

Please provide biographical information for key personnel, and if applicable, significant consultant(s)/collaborator(s) in the following format. Do not exceed two pages per individual.

- **Last Name, First Name, middle initial :**
- **Project Role:** (e.g., *Principal investigator, key personnel, consultant etc.*)
- **Positions Held:** Start with the most recent position and provide information for the last ten years. Including dates of employment, organization, position title, and a brief description of the position's responsibilities.
- **Education:**
  - Degree(s)

- Year of Highest Degree
- Discipline
- Institution
- **Representative Publications:** Identify no more than five of the most important and relevant peer-reviewed publications. Include full citation with titles, authors, and journal source for each. Do not submit copies of publications.

## E. Financial and Tax Information

1. If your organization is a U.S. public charity or private foundation, you must submit a copy of the valid IRS determination letter. Current and past grantees of the foundation are not required to resubmit this information.
  
2. All applicants must be prepared to make their most recent financial statement available upon request by the foundation. U.S. public charities and private foundations must also make available their most recent Form 990.

## IX. Modules

Below is a list of all five modules and a general summary of each. All applicants must review each module document and assess if it is applicable to the project. Please complete and submit applicable modules with the proposal submission.

### Technology and Information Management Module

- The creation of a new technology, process, formulation, product or medical procedure
- The further development of any existing technology, process, formulation, product or medical procedure
- The creation of software, drawings, or written material (such as an analysis, a curriculum, guidelines, policy recommendations) other than internal working documents, reports to the foundation, or publications
- The use of technology, a product, material or data owned or to be provided by a third party

### Planning for Technology Uptake Module

- If success of the project will depend on large-scale policy change at the national or international level

### Clinical Studies and Regulated Research Module

- Clinical Trials
- Human Subjects Research
- Scientific Research Requiring Regulatory Approval

### Policy and Advocacy/Communications Module

- Outreach to policy makers/leaders on political, financing, policy or media issues
- Use of media or other public platforms to educate or inform about global health issues
- Work with high-profile individuals (community leaders, celebrities, etc.) as spokespeople or representatives
- Activities being conducted in countries where U.S. embargoes apply

### For Profit Module

- For Profit Organizations only

If your proposed project includes any of the activities listed above and you have not been provided with an additional module to complete, please contact [grandchallenges@gatesfoundation.org](mailto:grandchallenges@gatesfoundation.org) for assistance. Failure to complete the appropriate module(s) will delay the review of your proposal.

## ADDITIONAL INFORMATION

### Global Access, Publication and Conflicts of Interest

As stated in the [Rules and Guidelines LOI Stage](#), a principal goal of this program is to ensure that innovations (and related rights) are managed and public health solutions are optimized for the purpose of facilitating (a) the prompt and broad dissemination of data and information to the greater scientific community, and (b) access (in terms of price, quantity, and functionality) to affordable health solutions for the benefit of people most in need within the developing world. The Foundation refers to these two objectives collectively as “Global Access.” Ensuring that disadvantaged markets and populations in developing countries can one day readily access or otherwise directly benefit from the intended diagnostic tools and approaches, should they prove effective and be commercialized, is of paramount importance. Similarly, your work may generate data and other information that could prove crucial to addressing global health concerns and may significantly advance third party research leading to other public health solutions.

With respect to this diagnostics program, the foundation anticipates that the outputs of your individual project may lead to innovative technologies and/or products that will result in new or improved diagnostics for those who need them most in the developing world. The foundation believes that the successful development of these high priority technologies and products – and furtherance of Global Access with respect to them – will involve the participation of both private sector companies as well as academic and/or non-profit research institutions. In addition, the management of intellectual property (IP) rights and the sharing of data and information among program participants will play an important role in achieving the program goals. It is the program’s intent to establish the formation of collaborations among the grant recipients as well as an overall management structure for the diagnostics program in order to facilitate the achievement of these urgent global health needs.

To this end, by submitting a proposal to the foundation in support of this diagnostics program each grant recipient (and their collaborators, if any) will be acknowledging its understanding of the following:

1. Participants will be required to participate in the creation of (and will be required to agree to) a common set of data and IP sharing principles to document their commitment to achieving the stated scientific and charitable goals of the foundation to promote the utilization, commercialization, and availability of inventions and improvements for public benefit in developing countries. These principles will include a commitment to: (a) make new data, information and materials known to the greater research and medical communities in a timely manner through publications, web announcements, progress reports to the foundation, and other appropriate mechanisms; and (b) make component technologies available to other organizations (to be selected and agreed upon during the course of Phase I of this diagnostics program) in a manner that will support specific applications during the integration phase (Phase II) of the program, with the aim of achieving Global Access. Recognizing there will be varying interests and constraints among the participants, the foundation intends that the principles will address data, information and IP sharing issues in a manner targeted at preserving the commercial needs and interests of the organizations while ensuring the furtherance of the program objectives
2. In cooperation with the Science Technology Advisory Group (STAG), participants will be required to contribute to the establishment of an overall management structure for the program in order to facilitate the implementation of these data sharing and IP principles as well as the development of the technical and business standards.

The foundation intends that continued funding of activities under individual program grants will be contingent upon the agreement to the above described data, information and IP sharing principles and management structure.

### **Avoiding Conflicts of Interest**

A term of grant award will require all grantees, subcontracting parties, and collaborating organizations to adhere to high ethical, regulatory and professional standards in all matters related to projects supported by foundation grant funds. Individual investigators participating in the project are also prohibited from participating in specific dealings when the individual knows that any of his/her relationships, including those of a member of his/her immediate family, may pose a conflict of interest with respect to a specific transaction. Disclosure to the foundation is required for any relationships known to the project participants that are covered by this policy that may affect (or could reasonably be viewed as affecting) the conduct of the grant, the disposition of rights associated with funded technologies, or other project outputs.

In accordance with the foregoing, please confirm that you have examined and are familiar with (or confirm that before the grant is made you will examine and become familiar with) the Conflict of Interest policies of all entities that are collaborating on the proposed project, and that all investigators who will be conducting activities are in compliance with the above standards.

### **Privacy Notice**

This document is subject to the Gatesfoundation.org [Privacy](#) policy and [Terms of Use](#).