Funding Opportunity Announcement (FOA)
N00244-17-S-FO01

"FY17 – FY18 Department of Defense HIV/AIDS Prevention Program: Military Specific HIV/AIDS Prevention, Care, and Treatment Program for Non-PEPFAR (President's Emergency Plan for AIDS Relief) Funded Countries"

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INTRODUCTION

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in the Department of Defense Grants and Agreements (DoDGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Health Research Center (NHRC) nor the Contracting Office (NAVSUP Fleet Logistics Center San Diego) will issue paper copies of this announcement. Interested parties are responsible to check http://www.grants.gov for possible amendments to this FOA.

The Naval Health Research Center (NHRC) reserves the right to select and fund for award all, some, or none of the proposals in response to this announcement. No funding shall be provided for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this FOA will not be returned. It is the policy of NHRC and NAVSUP FLC San Diego to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

It is anticipated that awards will take the form of grants or cooperative agreements. Therefore, all proposals submitted as a result of this announcement will fall under the purview of (a) the Federal statute authorizing this award, or any other Federal statutes directly affecting the performance of this Grant and (b) Department of Defense Grants and Agreements Regulations (DoDGARs).

All prospective grantees for this FOA, N00244-17-S-FO01, are on actual notice that the Department of Defense and the Department of the Navy (collectively referred to as "Grantor") rely on third-party contractor support. Consultant contractor employees, with appropriate non-disclosure agreements and organizational conflicts of interest clauses in their respective contracts with the Grantor, will be reviewing grant proposals to assist the Government in determining technical merit. (Note: The Government will however be evaluating the grant proposal and making all award decisions. Contractors with the appropriate non-disclosure agreements/OCI clauses may also be involved in Grant administration for the life of any awarded grant. No additional notice to grantees or prospective grantees will be provided. Nothing herein will be construed to waive the rights of grantees or prospective grantees to challenge release of any grant proposal information to other than those contractors providing grant support services.

I. PROGRAM_DESCRIPTION:

1. Requiring Agency: Naval Health Research Center (NHRC), Department of Defense HIV/AIDS Prevention Program (DHAPP)

2. Opportunity Title: FY17 – FY18 Department of Defense HIV/AIDS Prevention Program: Military Specific HIV/AIDS Prevention, Care, and Treatment Program for **Non-PEPFAR** (President's Emergency Plan for AIDS Relief) **Funded Countries**

3. Program Name: Not Applicable (N/A)

4. Opportunity Number: N00244-17-S-FO01

5. Catalog of Federal Domestic Assistance (CFDA) Number and Title:
12.350 - Department of Defense HIV/AIDS Prevention Program

5. Response Date: This FOA is a continuously open announcement and will remain open until **4:00 p.m. (PDT), 30 September 2018,** unless announced otherwise. Proposals received after this time will not be considered for award.

This announcement replaces DHAPP-BAA-15-002 (including all amendments)

6. Amendments: Amendments to this FOA will be posted to Grants.gov http://www.grants.gov. NOTE: Concept papers are only accepted in response to an amendment. Once notified that a full proposal is not desired from a Concept Paper, resubmission of the same Concept Paper is strongly discouraged. The actual number of evaluations will depend upon the availability of funds. Submitting within the first evaluation cycle is strongly encouraged due to the possible lack of funding for the later evaluation periods.

7. Opportunity Description:

7.1 Background

The United States Government has a long history and extensive network of international collaboration and partnerships in the fight against HIV/AIDS, providing funding, technical assistance, and program support. These collaborations increase the fundamental understanding of HIV transmission and provide an evaluative basis for prevention and intervention success. The current HIV/AIDS epidemic is devastating. Militaries, in particular, have been identified as a high-risk population. In order to target this population, the Naval Health Research Center (NHRC), San Diego, California, under the oversight of the Navy Surgeon General, has been tasked to serve as the U.S. Department of Defense (DoD) Executive Agent for the DoD HIV/AIDS Prevention Program (DHAPP).

DHAPP has successfully engaged over 80 countries in efforts to combat HIV/AIDS among their respective military services. DHAPP is a partner U. S. Government (USG) organization collaborating with the U.S. State Department, Health and Human Services, namely the Centers for Disease Control and Prevention and US Agency for International Development. Working closely with U.S. Department of Defense, U.S. Unified Combatant Commanders, Joint United Nations Program on HIV/AIDS, university collaborators, and other nongovernmental organizations, DHAPP assists countries in establishing HIV/AIDS prevention, care and treatment programs and/or strengthening their capabilities to combat HIV.

Applicants receiving an award should be aware of the military's PEPFAR activities and work in concert with these activities without duplicating efforts, creating parallel systems, or conflicting activities. The overall program manager for PEPFAR is the Department of State's Office of the U.S. Global AIDS Coordinator (O/GAC). DHAPP provides support for military-specific programs. Country HIV programs supported by PEPFAR funds can be found on the O/GAC website: http://www.state.gov/s/gac/.
More information about countries in which DHAPP currently operates and existing DHAPP programs can be found on the DHAPP website:
http://www.med.navy.mil/sites/nhrc/Pages/Research-DoD-Prevention-Program.aspx

DHAPP's goal is to maximize program impact by focusing on the drivers of the epidemic specific to the military, and to support the development of interventions and programs that address these issues. DHAPP works with militaries of foreign countries to devise plans based on the following process:

- Meet with key partners in country to determine provisional major program areas and other technical assistance needs.
- Adapt DHAPP support to a country's need for prevention, care and/or treatment of their HIV/AIDS situation based on an assessment of the country's epidemic, and more specifically, in that country's military.
- Strengthen the military capacity for ownership and behavioral changes over the long term.
- Consider program design by leveraging assets with other country partners who have/had successful prevention, care, and/or treatment efforts.
- Focus on prevention, care and/or treatment impact aligned with national implementation plans.
- Implement and monitor programs to ensure accountability and sustainability.

Countries and their militaries need strong evidenced based programs with measurable courses of action that demonstrate:

- Visible support from the military sector.
- Development of plans of action and policies.
- Alignment with national strategies and priorities.
- Increasing awareness within the military sector.
- Country military ownership of its activities.
- Prevention plans focusing on prevention of sexual transmission HIV testing services HTS), sexually transmitted infection (STI) prevention and management, behavioral interventions, reduction of concurrent partnerships, male circumcision, changing male normative behaviors, and prevention campaigns.
- Reduction of mother-to-child transmission, (The primary focus of these interventions is on behavior change to reduce the risks of sexual transmission, counseling, testing, diagnosis and proper linkages to care and support).
- Stigma reduction associated with HIV infection.
- Wide availability of condoms.

- HIV care and treatment plans focusing on prevention and care of opportunistic infections, increasing antiretroviral treatment (ART) coverage rates to reach saturation, supporting progress towards adopting WHO's 2015 "Treat All" treatment recommendation within confines of rapidly evolving national (ART) guidelines, Treatment-as-Prevention for serodiscordant couples when current guidelines don't yet support "Treat All", and considering HIV Pre-Exposure Prophylaxis (PrEP) in specific high risk HIV-negative populations in whom annual HIV incidence is greater than 3%.
- Surveillance and infrastructure development through programs focusing on HIV/STI/tuberculosis surveillance, prevalence surveys, laboratory support, monitoring and evaluation, training and strategic information management.
- Increasing capacity building.
- Promoting sustainability by the partner country.

The DoD HIV/AIDS Prevention Program (DHAPP), based at the Naval Health Research Center (NHRC) in San Diego, California, provides technical assistance, management, and administrative support of the global HIV/AIDS prevention, care, and treatment for foreign militaries. DHAPP administers funding, conducts training, and provides technical assistance to participating militaries. DHAPP provides HIV program execution and monitors outcomes, with staff that includes active duty military, civil service, and contractor personnel.

7.2 Program Purpose and Plan

DHAPP continues to rely upon the vital support of various partners, such as non-governmental organizations (NGOs), in implementing HIV prevention, care and treatment programs across the globe. Each country has a customized plan to help the countries' militaries bring its HIV/AIDS programs to sufficient scale to help reduce the spread of the epidemic and mitigate its impact.

<u>DHAPP's current priority activities include the following:</u>

- Institutional capacity building and developing military specific HIV strategic and operational plans that incorporate effective monitoring and evaluation procedures.

- Capacity building for military members to increase the quantity or quality of HIV prevention, care and treatment programs in military settings.

- Implementation of a minimum package of HIV prevention interventions that meet PEPFAR Monitoring Evaluation and Reporting (MER 2.0) Indicators, guidance. Package should include condom promotion and distribution, information, education, and skills to reduce HIV risk and vulnerability, correctly identify HIV prevention methods and sustain positive change; promotion of gender equitable principles; and activities to address stigma and discrimination associated with HIV; referral or provision of HIV testing services

and demand creation for other needed prevention services.

- Assessment of military and context specific HIV risk behaviors and identification of military sub-populations most at risk.
- Evaluating specific prevention interventions in military contexts.
- Developing systems (paper and/or electronic) to monitor linkages and referrals across prevention, care and treatment programs.
- Providing infrastructure and equipment to support HIV testing, care and/or treatment.
- Increasing testing of all military personnel with the intention of early diagnosis in a test and start model.
- Developing and maintaining commodity forecasting activities to avoid stockouts of key HIV commodities.
- Developing HIV laboratory diagnostic and monitoring capabilities.
- Increasing clinical capability and other human resources for health care of those infected with HIV.
- Increase HIV antiretroviral treatment coverage rates in keeping with UNAIDS 90:90:90 targets.
- Developing or revising military specific HIV policies that specifically address leadership roles, gender norms, gender based violence, stigma and discrimination and structural components necessary for access to care.
- Increasing circumcision coverage among military personnel through Voluntary Medical Reduction of Alcohol use/abuse and programs to reduce dependence.
- Package of interventions for people living with HIV including partner notification, family testing (including all children of an HIV positive mother), family planning, disclosure, adherence, alcohol reduction, STI screening and treatment, condom distribution and promotion and individual and group patient education on all the above programs including nutrition, TB, natural history of HIV, treatment options, risk assessment.

This FOA is intended to solicit existing partners and establish new partners in furtherance of DHAPP and partner military program goals. Interested sources should submit proposals identifying their plans and capabilities per information in Section IV, Application and Submission information.

Proposals should focus on rapidly extending HIV/AIDS services. Respondents are encouraged to target specific needs with a practical business plan, using small grass-roots organizations to provide community-based services as a way to enhance organic capabilities and sustainability.

DHAPP serves as the overall program manager for this funding.

8. Point(s) of Contact:

Any questions regarding this announcement must be provided to the points of contact listed below. All questions shall be submitted in writing by electronic mail. Questions submitted via a telephone call, fax message, or other means will not be provided a response. The specific points of contact for this announcement are listed below:

Questions of a **business** nature shall be directed to:
Ms. Janet Norton
Contract and Grant Officer
NAVSUP Fleet Logistics Center San Diego
E-mail: Janet.Norton@navy.mil

Questions of a **technical/programmatic** shall be directed to:

Dr. Braden Hale, MD, MPH
Director, DoD HIV/AIDS Prevention Program
Naval Health Research Center
140 Sylvester Road, Bldg. 304
San Diego, CA 92106-3521
E-mail: usn.nhrc.dhapp@mail.mil

Questions or assistance needed ***regarding the grants.gov*** registration process, system requirements, or submittal process shall be directed to:

Grants.gov
Phone: 1-800-518-4726
E-mail: support@grants.gov

9. Instrument Type(s) – Assistance Awards

Awards will take the form of Grants. However, NHRC reserves the right to select and fund award of a Cooperative Agreement if deemed to be in the best interest of the Government. Applicants should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. The following are brief descriptions of the possible award instruments.

Grant – A legal instrument which, consistent with 31 U.S.C. 6304, is used to enter into a relationship:

(1) The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense's direct benefit or use.

(2) In which substantial involvement is not expected between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.

(3) No fee or profit is allowed.

Cooperative Agreement – A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant; except, when carrying out the activity contemplated by the cooperative agreement, DoD and the Recipient will be working together. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

Anticipated substantial involvement elements for Cooperative Agreements are listed below:

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to Host National Military priorities and guidance as well as interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;
  The Recipient will work in consultation with the NHRC/DHAPP Program Manager/Desk Officer staff to develop and execute a final M&E plan including establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with NHRC and the Host National Military;
- Appropriate review and approval of subawards.

10. Catalog of Federal Domestic Assistance (CFDA) Number: 12.350

11. Catalog of Federal Domestic Assistance (CFDA) Title: Department of Defense HIV/AIDS Prevention Program (DHAPP)

12. Additional Information:

Proposals come from the following Program Areas, but should focus on the specific areas outlined in the narratives in Attachment 1. Each narrative is stand-alone effort and should not

be combined with another narrative. All Program Areas in each specific narrative must be addressed in that concept paper submission.

Prevention
Prevention of Mother to Child Transmission (MTCT)
Other Sexual Prevention (HVOP)
Blood Safety (HMBL) Injection Safety (HMIN)
Injecting and Non Injecting Drug Use (IDUP)
Voluntary Medical Male Circumcision (CIRC)
HIV Testing and Counseling (HVCT)
Prevention of Gender-based violence (SGBV)

Care
Adult Care and Support (HBHC)
Orphans and Vulnerable Children (HKID)
TB/HIV (HVTB)
Pediatric Care and Support (PDCS)

Treatment
ARV Drugs (HTXD)
Adult Treatment (HTXS)
Pediatric Treatment (PDTX)

Other
Health Systems Strengthening (OHSS)
Laboratory Infrastructure (HLAB)
Strategic Information (HVSI)

Quarterly fiscal and activity status reports are required, but monthly submission is encouraged. Training to enable compliance will be provided by the DHAPP office.

Semi-annual Indicator Reports are required. Training will be provided by the DHAPP office.

All human subject research conducted with DHP funding shall comply with all applicable Federal, State, Department of Defense, and Navy statutes, regulations, and instructions governing human subject protections in research. This shall include that the Grant Recipient ensure that DHAPP/ supported human subject research only be conducted under a Federal Wide Assurance granted by DHHS (or an Assurance granted by other federal department) and that such research be approved by a properly-constituted and registered Institutional Review Board (IRB). All Grant Recipients shall provide documentation of their Assurance and IRB approval to DHAPP/NHRC IRB and Human Research Protection Official (HRPO) and ensure compliance with requests from the HRPO, before any human subject recruitment or enrollment.

Appropriate DHAPP and DoD logos should be included in any material deliverables that are developed through funding from DHAPP. The Department of Defense through its agent, DHAPP, will retain ownership of these deliverable products for reproduction and other purposes. NHRC/DHAPP provides it without royalty, license, or other fee to recipients of DHAPP-funded grants or cooperative agreements.

II. AWARD INFORMATION

1. Amount and Period of Performance for Awards: There is no set limit to the number of proposals can submit to this FOA. The period of performance is generally one year from the effective date of award, with up to three additional years (phases) subject to availability of funding. Applicants are encouraged to propose additional phases in their submission, if appropriate.

2. For each country where funding is available, Attachment 1(narrative) will contain a description of the work that is needed, along with the program areas and an approximation of the available funding. It should be noted that while dollar amounts are listed, this should be taken as an estimate of the funding for an effort whether a single amount or range is listed. **Changes to Attachment 1 will be provided in the form of amendments to this announcement.**

3. Range of Approval/Disapproval Time:

Subject to the availability of funds, three evaluation cycles or more will be conducted during this FOA. The first round of full proposals will be selected approximately 45 days after the date of this FOA. Subsequent rounds of evaluations are anticipated based upon funding availability. **PLEASE MONITOR** http://www.grants.gov **FOR AMENDMENTS TO THIS ANNOUNCEMENT.**

Formal proposals are reviewed and selected within six months of submission. Subsequent awards are usually made within four months of notification.

This information is only an estimate and does not obligate the U.S. Government in any way. Estimated funding amounts may increase or decrease at anytime based on current and future appropriations.

4. The notification of award selection must not be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Contracting Officer/Grants Officer signs the respective award document.

5. The Recipient is reminded that U.S. Executive Orders and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with the Executive Orders and laws. This provision must be included in all subcontracts/subawards

issued under this agreement.

III. ELIGIBILITY INFORMATION

All responsible sources from academia, industry, and non-governmental organizations may submit proposals under this FOA. No grants or cooperative agreements may be awarded directly to foreign military establishments. All respondents must demonstrate the active support of the in-country military and the DoD representative in the corresponding U.S. Embassy in the planning and execution of their proposals. **All respondents must demonstrate the active support of the in-country military and the DoD representative in the corresponding U.S. Embassy in the planning and execution of their proposals.**

Cost sharing is not expected and will not be used as a factor during the merit review of any proposal hereunder. However, the Government may consider voluntary cost sharing if proposed.

IV. APPLICATION AND SUBMISSION INFORMATION

1. E-MAIL ADDRESS FOR SUBMISSION OF CONCEPT PAPER:

Concept Paper should not be submitted through the Grants.gov.
Concept paper submissions should be e-mailed directly to the following email addresses:

usn.nhrc.dhapp@mail.mil

Concept paper format requirements are found in Section IV, paragraph 6.

2. SUBMISSION OF FULL PROPOSAL THROUGH GRANTS.GOV:

For electronic submission of full proposals, there are several one-time actions that must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See http://www.grants.gov, specifically http://www.grants.gov/web/grants/applicants/organization-registration.html

Use the Grants.gov Organization Registration Checklist at:
http://www.grants.gov/web/grants/applicants/applicant-resources.html
which provides process guidance. Designating an E-Business Point of Contact (E-Biz POC) and obtaining a special password called 'MPIN' are important steps in the SAM registration process. Applicants not registered with SAM.gov and Grants.gov should allow at least 21 days to complete these requirements. The process should be started as soon as possible. Any questions relating to the registration process, system requirements, the application form, or the submittal process must be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or support@grants.gov.

3. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

• **SF-424, Application for Federal Assistance -** (included in the application package available on grants.gov posted with this FOA).

• **SF-424A, Budget Information - Nonconstruction Programs -** (included in the application package available on grants.gov posted with this FOA).

• **SF-424B, Assurances - Nonconstruction Programs -** (included in the application package available on grants.gov posted with this FOA).

The program described in Section I above includes non-construction elements. Therefore, the mandatory forms for non-construction programs must be completed. Non-construction activity costs should be included on the SF-424A.

4. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an Attachment 2 to this FOA.

5. FOR SYSTEM AWARD MANAGEMENT (SAM) AND DATA UNIVERSAL NUMBERING SYSTEM (DUNS) REQUIREMENTS

a) System for Award Management (SAM): All Applicants submitting proposals or applications must:

(1) Be registered in the SAM prior to submission;
(2) Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
(3) Provide its DUNS number in each application or proposal submittal to the agency. The System for Award Management (SAM) is a free web site that consolidates the capabilities previously available in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

SAM may be accessed at https://www.sam.gov/portal/public/SAM/

b) Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free

DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: http://www.dnb.com.

If an applicant fails to comply with these requirements, it will affect its ability to receive the award.

6. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

For the purposes of this FOA, the term "applicant" is used to refers to the prime offeror. The application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications that are incomplete or not directly responsive to the terms, conditions, specifications, and clauses of this FOA may be categorized as non-responsive and eliminated from further consideration.

Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

The application should be specific, complete, and concise. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program.

Applicant should retain for its records a copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

Notification of formal invitation requests for full proposals is anticipated soon thereafter. The due date for receipt of full proposals is **two weeks** from receipt of the request for a full proposal from the Grants Officer.

Based on the availability of funds, a second and third round of Concept Paper evaluations may occur. Details of the second and third Concept Paper evaluations, should they occur, will be posted via an amendment to this FOA at http://www.grants.gov.

A Full Proposal shall be submitted only after a formal invitation has been received from the Grants Officer. Upon Completion of the final proposal evaluation process and final selections, the Offeror shall be notified via e-mail of its selection or non-selection for award. Assuming all needed documentation has been received by the grants office; grants are processed within three months of notification.

Applicants shall state that their Concept Papers and full proposals are valid for 240 days from the submission deadline.

STEP ONE: CONCEPT PAPER PROCESS AND FORMAT

APPLICANTS ARE EXPECTED TO SUBMIT A CONCEPT PAPER IN ADVANCE OF A FULL PROPOSAL. A FULL PROPOSAL SHOULD ONLY BE SENT IF INVITED FORMALLY AFTER REVIEW OF THE CONCEPT PAPER.

Concept Papers shall only cover **one** country. Respondents submitting Concept Papers for more than one country shall submit separate proposals, **unless the program is non-severable** across multiple countries. Non-severable programs would include programs that are regional in nature or have a targeted specific focus that is designed to provide benefit to multiple countries.

Eligible organizations interested in applying for an award in response to this FOA are invited to submit a program concept paper via e-mail to DHAPP Office, see Section IV.1. above for point of contact.

Proposed programs should have an estimated value and performance period. In developing the concept paper submission, the applicant should carefully consider all information contained in this FOA and must be within the parameters described in the Program Description section above, including the geographic areas. NHRC may opt to exclude from further consideration any submission which is not within these parameters. NHRC reserves the right to fund any or none of the applications received. Specifically, the concept paper must include the following:

Concept papers must be prepared in English. Concept Papers shall consist of three sections: **(I) Executive Summary, (II) Proposed Activities and (III) Cost Summary.** The details of each section are described below.

Concept Paper Format

- Paper Size – 8.5 x 11 inch paper
- Font – Time New Roman, 12 point
- Margins – 1" inch
- Spacing – Single or double-spaced
- Number of Pages – No more than twelve (12) pages single-sided pages (excluding cover page, abstract, cost breakdown, Staffing Needs/Costs, and Timeline for Completion). Concept Papers exceeding the page limit may not be evaluated.
- Copies – one (1) electronic copy in Adobe PDF or Word delivered via e-mail, containing all of the required sections (see section IV). Electronic (e-mail) submissions must be sent to the attention of the e-mail address referenced in Section IV.1. above. The subject line of emails shall read **"**N00244-17-S-FO01, CONCEPT PAPER APPLICATION."

Concept Paper Content

- **Cover Page** (1 page) – The Cover page must include:

    - FOA number: **N00244-17-S-FO01** (CONCEPT PAPER APPLICATION);
    - Proposed project title;
    - Proposed length of project;
    - The applicant/organization name;
    - The applicant's administrative and technical points of contact, with telephone numbers, facsimile numbers, and e-mail addresses.
    - Signature of an Authorized Officer of the applicant institution/organization.

  Project Abstract – Concise, single-spaced abstract, not to exceed 4000 characters, summarizing the proposed program effort, including the name of the Offeror institution/ organization, anticipated public benefit, type of substantial involvement by the Government (if cooperative agreement is proposed), objectives, assessed need, and anticipated impact and results.

- **Section I: Executive Summary** (not to exceed 1 page) –
  Briefly summarize the overall proposed program.
  Strategy – Explain the specific problem to be addressed, the expected goals to be achieved, how this program supports the areas of interest in this FOA, and a short description of the strategy to be used to achieve the proposed goals.

- **Section II: Proposed Activities** (not to exceed 8 pages) –
  Describe the proposed activities in more detail.

  Development Plan and Activity Description – Include a short description of the activities that will be undertaken to achieve the proposed objective and provide a general time line of activities and the transition plan to the partner military. Displaying knowledge of the needs of the partner military, how objectives will be met, and how you will evaluate the success of the program. A brief work plan and list of deliverables should be included.

  Beneficiary Population, Geographic coverage of the Program, and Gender – Include a description of targeted beneficiaries.

  Expected Impact – Outline expected results and impacts and the mechanisms proposed to measure and monitor progress, achievement and sustainability.

  Timeline for completion – Outline of the estimated activities for each quarter with a schedule of milestones.

- **Section III: Cost Breakdown** (not to exceed 1 page)
  Provide a one-page budget summary which includes, at a minimum a total funding

requested and, if applicable, any cost share contribution (e.g. in cash, in-kind), that may be contributed by the applicant from its own resources or other non-U.S. Government sources. Budgets should be in US Dollars (USD).

- **Technical / Administrative Capabilities in Proposed Work Area** (not to exceed 2 pages)

  Describe your organization's technical and administrative capabilities and past experience in conducting program similar to the one proposed. List all contracts, grants, or cooperative agreements involving (similar or related) programs conducted by the applicant (or consortium partners) over the past three years and include a brief statement of work performed. These other programs can be funded by any entity, public or private, and do not need to be NHRC-funded program.

- **Signed Standard Form 424, 424a and 424b**. Forms can be found at www.grants.gov.

Note: If any sections of the submitted concept paper exceed the designated page limit, NHRC reserves the right at its sole discretion to take appropriate action, including, but not limited to, excluding the pages in excess of the limit or eliminating the applicant from the competition.

STEP TWO: FULL PROPOSAL PROCESS AND FORMAT

If initial review by NHRC indicates the concept paper merits further consideration for funding, NHRC will request a full application. The full application must be in English. The full application should reflect full consideration of all the information provided in this FOA. Contents of a full proposal application are described below. Please note that a request for a full proposal application does not constitute a NHRC funding commitment. Once notified, the applicant shall submit a Technical and a Cost proposal with specifications outlined in the Request for Full Proposal notification e-mail.

Proposal submissions will be protected from unauthorized disclosure in accordance with applicable law, and DoD/DoN regulations. Respondents are expected to appropriately mark each page of their submission that contains proprietary information.

A Proposal shall consist of three sections: **(I) Technical Approach, (II) Management and Qualifications, and (III) Cost**. The details of each section are described below.

Full Proposal Format

- Paper Size – 8.5 x 11 inch paper
- Font – Times New Roman, 12 point
- Margins – 1" inch
- Spacing – Single or double-spaced
- Number of Pages – Sections I and II combined are limited to no more than 32 pages.

Section III has no page limit. The cover page, table of contents and abstract are excluded from the page limitations. Proposals exceeding the page limit may not be evaluated (see note above).

Full Proposal Content

- **Cover Page** - Should include the words "Technical Proposal" as well as the following:
  (1) FOA number N00244-17-S-FO01
  (2) Targeted Country;
  (3) Title of Proposal;
  (4) Identity of Prime Respondent and complete list of subcontractors, if applicable;
  (5) Technical Contact (name, title, address, phone, fax and e-mail);
  (6) Administrative/Business Contact (name, title, address, phone, fax and e-mail);
  (7) Duration of effort
  (8) Table of Contents: Section, Title and page numbers are required.
  (*Note: This cover page does not count against the total page count for the technical application.)*

- Signed Standard Form 424, 424a and 424b. Forms can be found at www.grants.gov.

- Signed Certifications (Attachment 2).

- **Section I: Technical Approach**. The following items shall be addressed:

  - **Executive Summary** (not to exceed 2 pages)**.** Brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from NHRC.

  - **Background Information.** Provide general background information about the host country and its military, including conditions and issues that have relevance to HIV transmission and HIV prevention programs. This information should include data on HIV prevalence. Other possible information to include: population size, economic conditions, political conditions, conflicts and border disputes, country infrastructure, and host nation military HIV program accomplishments or priorities to date and other donors, resources leveraged, etc. Information provided in this section should demonstrate awareness of the conditions and needs within the country and its military.

  - **Goal and Objectives**. Describe (a) the overall program goal of your proposal, and (b) the objectives that your program hopes to achieve. See DHAPP current Priority activities in Section I. 6.2 (Program Purpose and Plan) for reference.

  - **Statement of Work.** In an Excel spreadsheet, provide a summary of your planned activities for each program area (an example is provided in Attachment

4). Use the following column headings: Country, Offeror, Funds Requested, and Brief Activity Narrative.

- **Work Plan**. Clearly detail the scope and plan of the effort. Describe the specific methods (e.g., surveys, interviews, surveillance, etc.) you will use to accomplish the proposed objectives. All anticipated work must be within the national guidelines of the host country. If your plan includes a training/education program or other intervention, please describe these in detail. Training should be aligned with national standards where possible. It is anticipated that the proposed plan will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable self-standing plan without any proprietary restrictions that can be attached to the agreement award.

- **Deliverables**. Applicants should provide a detailed description of the results and products to be delivered. Appropriate DHAPP and DOD logos should be included in any material deliverables that are developed as a result of this FOA funding. The Department of Defense through its agent, DHAPP, will retain ownership of these deliverable products for reproduction and other purposes. It is understood that publications may occur based on program developments that are not necessarily research in nature. Nonetheless, DHAPP personnel should be consulted, directly involved, and share authorship in any publications that result from projects that are funded by this FOA. A copy of any and all publications, including appropriate acknowledgement language, that are funded by this FOA shall be provided to the NHRC PAO for approval and comment prior to release. The Grantee shall provide all technical data including reports, drawings and blueprints, all research data including data collected, data collection tools, data bases and data tables, and all computer software, that are a result of performance under this grant.

- Data Management Plan (not to exceed 2 pages) Proposals must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplementary document should include:
    a. The types of data, guidance, physical data collections, software, training materials, and other materials to be produced in the course of the project;
    b. The standards to be used for data and metadata format and content (where existing standards are absent or deemed inadequate, this should be documented along with any proposed solutions or remedies);
    c. Policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements; in cases where Personal Health Information is collected, identify appropriate national/international standard to be used.

d. Policies and provisions for re-use, re-distribution, and the production of derivatives; and
e. Plans for archiving data and other information products (reports), and for preservation of access to them.
f. A valid Data Management Plan may include only the statement that no detailed plan is needed, as long as the statement is accompanied by a clear justification.

A proposal that is missing a Data Management Plan will be rejected.

- **Monitoring and Evaluation**. State how you will demonstrate that the proposed program will have an impact on military members and/or their families and state the indicators of performance that will be used. Indicators of performance need to be specific and measurable (e.g., 100 military members will receive VCT counseling, 2 laboratories will be established). Also, state how you will collect this information.

- **Schedule and milestones**. Provide a schedule and description of major milestones or tasks to be accomplished in the proposed program by quarter (e.g., by 3-month period). No set number of milestones is required; the number and nature of the milestones will depend on your program and objectives.

  Examples:

  Quarter 1:
  - Develop training materials for an HIV prevention education program.
  - # of individuals who received HTS services and received their test results

  Quarter 2:
  - Administer knowledge/attitude/behavior pretest survey to 500 military members.
  - Refurbish 2 military health clinics to provide VCT services.

  Quarter 3:
  - Train 10 laboratory technicians to support VCT services.

  Quarter 4:
  - Administer knowledge/attitude/behavior posttest survey to 500 military members.
  - Provide counseling and testing to 150 military members at VCT centers.

- **In-Country Participation.** Describe the involvement of the host country's military and its leadership in: (a) the development of the proposal (and/or the ideas presented in the proposal), and in (b) the planned execution of the proposed program bearing in mind the long term sustainability and host country military ownership of the program.

- **Relevance of the Program.** (a) Describe the relevance of the proposed program to the needs, priorities and circumstances of the host country's military; (b) describe how the proposed program fits into the overall HIV strategy for the country and/or the country's military. If the respondent has previously performed and accomplished HIV prevention efforts involving the host country's military, it should describe its past and current efforts.

- **Section II: Management and Qualifications Approach**

  (a) The Management Plan will provide a clear description of how the grant or cooperative agreement will be managed, including the approach to addressing potential problems. The plan shall outline which organization/ sub-awardee will carry out the various tasks specified in the technical approach. The prime partner will be responsible for all technical activities regardless of the activities implemented by the sub-partner or other member of the team. The application must specify the composition and organizational structure of the entire project team (including home office support and other sub-partners) and describe the role of each staff member named under key personnel, technical expertise, and estimated amount of time he or she will devote to the program. Given the limited funding of the award and the broad scope, Applicants may want to propose innovative ways to reduce managerial costs of sub-partners such as sharing office space, vehicles, etc. It is expected that sub-partners will not set up separate offices and separate managerial units, but instead offer specialized technical support under the prime partner.

  (b) The application shall discuss proposed technical, managerial and other personnel as deemed appropriate to implement the tasks described above, inclusive of a coordination plan for other partners working in the district or sub-district. Such staff should have played important technical and country-level support roles in the past and current health and HIV and AIDS programs. The staffing plan shall elaborate what and how long-term and short term technical and management assistance will be provided to the program to accomplish tasks and objectives.

  (c) The application shall provide summary roles descriptions, responsibilities and qualifications of all key personnel relevant to successful implementation of the proposed technical approach, as technical personnel will serve as technical assistants to the District Management Teams.

  (d) The application shall also include, in an Attachment/Annex, resumes for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Letters of commitment from all key personnel to the effect that they will be available for the period of the agreement award, should the applicant receive an award. Should also be included in the Attachment/Annex. Finally, a list of 3 non-

personal professional references should be included for each proposed key personnel. The reference information provided should consist of the following: full name and relationship, accurate and up to date email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed.

In proposing the overall staffing plan, the applicant should ensure that expertise in implementing similar programs of focus and scale in the country is represented. In particular, the application should consider:

Program Director: The applicant is required to appoint a Program Director. The Program Director should have demonstrated capabilities in management, institutional capacity building, high-level strategic visioning and leadership, and experience in working effectively with district, provincial and national government authorities. Prior experience in senior level management of similar programs is absolutely required. Demonstrated experience is required in coordination and collaboration with broad set of stakeholders, including multi-lateral and international donors and local and international NGOs. The Program Director must have background and experience in more than one technical area of the program and experience or familiarity in management in an integrated, comprehensive, clinic-based program environment. Exceptional written and oral communications skills in English must be demonstrated.

Other Personnel: Applicant has the discretion to determine the proper number and mix of additional key personnel, short-term technical staff, and others to meet award requirements.

Consultants: Applicant may propose a mix of international and local advisors and specialists to cover the full range of objectives and activities. The management plan shall also demonstrate how the applicant will use in-country experts and resources. All personnel must demonstrate exceptional written and oral communications skills in English. Familiarity and demonstrated experience with the political, social, economic and cultural context of the country is required.

Applicant should support its organization's effectiveness and provide partnership arrangements. Applicant should propose how they will coordinate with the host country military as well as with other district partners working across program areas. If the applicant intends to develop institutional partnerships/teaming arrangements for implementation of the cooperative agreement (sub-recipients or alliances), the application must specify the nature of organizational linkages. This includes their relationships between each other, lines of authority and accountability, and patterns for utilizing and sharing resources. Applicant that intend to utilize sub-awards should indicate the extent intended, the method of identifying sub-awardees, and the tasks/functions they

will be performing. Applicant that plan to team up with other organizations, or government agencies for the implementation of the agreement should outline the services to be provided by each such agency or organization and should discuss how the collaboration with these partners fits into the Applicant's proposed management plan. Applicant should state whether or not they have any existing relationships with the proposed partners and, if so, should include the Memoranda of Understanding (MOUs) in the Attachment/Annex. It is not expected at this time that offerors will include host country military letters of support or MOUs as these will be negotiated after award once district and sub-district allocation are finalized.

The Organization's Qualifications - In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in institutional capacity building, HIV and AIDS policy development and implementation, delivery of integrated, comprehensive district-based HIV-related services for care and treatment and collaborations with donors, host country governments, and NGOs to strengthen health and HIV and AIDS systems. Offeror shall also describe their organizational capability in collaborating with the host country military, donors, and NGOs to strengthen health and HIV/AIDS systems, and to improve the quality and use of data for decision making and advance organizational capacity building. The Applicant should also describe the organizational knowledge, capability, and experience of the other proposed team members (sub-contractors and/or grantees) in successfully managing similar programs.

Current and Pending Support – Applicant must provide information on all current and pending projects, including subsequent funding in the case of continuing contracts, grants and other assistance agreements and proposals that involve the proposed Technical Program Manager. All current project support from whatever source (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations) must be listed.

The information must also be provided for all pending proposals already submitted concurrently to other possible sponsors, including NHRC. Concurrent submission of a proposal to other organizations will not prejudice its review by NHRC. Provide the following information:

- Title of award or project title;
- Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- Percentage effort devoted to each project;
- Technical contact (name, address, phone, e-mail);
- Administrative/Business contact (name, address, phone, e-mail);
- Period of performance;
- The proposed project and all other projects or activities requiring a

portion of time of the proposed Technical Program Manager and other proposed senior personnel must be included, even if they receive no salary support from the project(s);
- The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of the source of support;
- Commitment proposed Technical Program Manager in terms of person-months per year for each year.

The Government may contact references and use the past performance data, along with other information, to determine the applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from sources inside or outside the Government.

- **Section III: Cost Application Format**

The Cost Application must be submitted separately from the Technical Application and shall be formatted in Microsoft Excel and be in US dollars ($). While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary details. The cost application shall include completed SF-424 forms and a budget narrative explaining and justifying the budget figures in detail, must include all figures, calculations, and supporting documentation for determining cost *allowability, allocability, and reasonableness.* Justifications for costs must be explicitly stated.

A projected budget shall be provided that includes cost breakdowns by category and must provide accompany line item detail which explain the basis for how the individual line item costs were derived. While we do not require a specific format, a sufficiently detailed projected budget is required. Generally, costs for project management and administrative costs (e.g., salaries, overhead, and travel related to management and administration) shall generally be no more than 20% of the total budget. A minimum of 70% of the total budget should be for broadly defined HIV prevention/care activities (including the labor and materials needed for these activities). No more than 5% of the total budget shall be proposed for executive level workshops. If your budget deviates from these budget guidelines, provide sufficient justification**.**

The Applicant must use the Grants.gov SF-424 budget forms from the application package template associated with this FOA on the Grants.gov website located at http://www.grants.gov/. If phases are proposed, the cost proposal must provide the pricing information for the phase periods. Failure to include the proposed costs for the phase periods will result in the phases not being included in the award. Assume that performance will start no earlier than three (3) months after the cost proposal submittal date.

A separate Adobe PDF document should be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of the costs proposed.

Costs proposed must conform to the following principles and procedures:

Educational Institutions: 2 CFR 220 –Uniform Guidance, subpart E

Non-Profit Organizations: 2 CFR 200 – Uniform Guidance, Subpart E*

Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5 and DFARS Subsection 215.403-5.

***For those Non-Profit Organizations specifically exempt from the provisions of OMB Circular A-122 (2CFR 230), FAR Part 31, and DFARS part 231 shall apply.*

REQUIRED BUDGET DETAILS SHALL INCLUDE THE FOLLOWING:

Direct Labor (Salaries and Wages) – List the number and titles of personnel, amounts of time to be devoted to the project (level of effort for each position), and rates of pay. If proposal crosses fiscal years, then provide escalation rates for out years. The annual salary should be clearly noted for each position. Labor should be clearly broken out from fringe benefits. The fringe benefit rate/percent should be clearly noted on the budget for each labor category.

Administrative and clerical labors – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed. Direct salaries and wages should be proposed in accordance with the organization's personnel policies.

Fringe Benefits and Indirect Costs (i.e., F&A, Overhead, G&A, etc) – The most recent rates, dates of negotiation, the base(s) and periods to which the rates are applied must be disclosed and a statement included identifying whether the proposed rates are provisional or fixed. If the rates have been approved/negotiated by a Government agency, state when and by which agency. **Provide a copy of the Negotiated Indirect Cost Rate Agreement (NICRA) memorandum**.

IAW 2 CFR §200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to 2 CFR §200, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases,

and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

If negotiated forecast rates do not exist, applicants must provide sufficient detail to enable a determination that the costs included in the forecast rates are allocable according to the applicable OMB Circulars or FAR/DFARS provisions. An Applicant's disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify:

(1) All individual cost elements included in the forecast rate(s);
(2) Bases used to prorate indirect expenses to cost pools, if any;
(3) How the rate(s) was calculated;
(4) Distribution basis of the developed rate(s);
(5) Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs", and
(6) The period of the Applicant's fiscal year.

Travel and Transportation – The application should indicate the number of trips, domestic and international, and their associated estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. The estimated cost per trip must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals.

Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If facilities or equipment are required, a justification why this property should be furnished by the Government shall be submitted. State the organization's inability or unwillingness to furnish the facilities and/or equipment. Offerors must provide an itemized list of permanent equipment showing the cost for each item. Permanent equipment is any article or tangible nonexpendable property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. The basis for the cost of each item of permanent equipment included in the budget must be disclosed, such as:

(1) Vendor Quote: Show name of vendor, number of quotes received and justification, if intended award is to other than lowest bidder.

(2) Historical Cost: Identify vendor, date of purchase, and whether or not cost represents lowest bid. Include reason(s) for not soliciting current quotes.

(3) Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes. If applicable, the following additional information shall be disclosed in the Applicants' cost proposal:

(4) Special test equipment to be fabricated by the awardee for specific program purposes and its cost.

(5) Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs, listed separately.

(6) Existing equipment to be modified to meet specific research/program requirements, including modification costs. Do not include equipment the organization will purchase with its funds if the equipment will be capitalized for Federal income tax purposes. Proposed permanent equipment purchases during the final year of an award are limited and shall be fully justified.

(7) Grants and cooperative agreements may convey title to an institution for equipment purchased with project funds. At the discretion of the Grants Officer, the agreement may provide for retention of the title by the Government or may impose conditions governing the equipment conveyed to the organization. The Government will not convey title to commercial contractors.

(8) A written certification that the equipment will be used exclusively for the proposed research/program activities and not for business or administrative purposes.

Materials, Supplies, and Consumables: Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

Publication, Documentation, and Dissemination: The budget may request funds for the costs of preparing, publishing, or otherwise making available to others the findings and products of the work conducted under an agreement, including: costs of reports, reprints, page charges, or other journal costs (except costs for prior or early publication); necessary illustrations, cleanup, documentation, storage, and indexing of data and databases; and development, documentation, and debugging of software.

Subawards – (subcontracts or subgrants): A precise description of services or materials that are to be awarded as a subaward must be provided. For subawards totaling $10,000 or more, the following specific information shall be provided:

(1) A clear description of the work to be performed.
(2) If known, the identification of the proposed subawardee and an explanation of why and how the subawardee was selected or will be selected.
(3) The identification of the type of award to be used (cost reimbursement, fixed price, etc.).
(4) Specify if the award will be competitive or noncompetitive and, if noncompetitive, provide the rationale to justify the absence of competition.
(5) A detailed cost summary.

Consultants – Applicants normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of the proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of consultant(s), primary organizational affiliation, each individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs. A copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime Applicant's proposal.

Note: The Government reserves the right to determine if any consultant arrangement poses an organizational conflict of interest with those consultants that serve the Department of the Navy or Department of Navy Health Research Command (NHRC). On that basis alone, a grant may be rejected.

Computer Services - The cost of computer services, including computer-based retrieval of scientific, technical, and educational information, may be requested. A justification/explanation based on the established computer service rates at the proposing organization should be included. The budget also may request costs, which must be shown to be reasonable, for leasing automatic data processing equipment. The purchase of computers or associated hardware and software should be requested as items of equipment.

Other Direct Costs – Itemize and provide the basis for other anticipated proposed direct costs such as communications, transportation, insurance (other than insurance included in the Offeror's fringe benefits), office rent, and rental of equipment other than computer related items. Unusual or expensive items shall be fully explained and justified. The narrative should provide a breakdown and support for all and each other proposed direct cost.

Fee/Profit - Fee/profit is **unallowable** for assistance instruments (grants or cooperative agreement) at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

Separate from the budget discussed above, your statement of work (SOW), shall distribute the management and staffing costs across the technical program areas.

Failure to adequately provide detailed cost data will require FLC San Diego Grants Officer to contact the proposing organization for the requisite information. This will result in a delay of the award. All Applicants are required to submit a thoroughly detailed cost breakdown. FLC San Diego Grants Officer must be able to determine that all proposed costs are allowable and reasonable. A detailed budget will facilitate this cost analysis.

V. EVALUATION INFORMATION

1. Evaluation Criteria

Proposals will be selected through a technical and business decision process with technical considerations being most important. Criteria are listed in descending order of importance. Any sub-criteria listed under a particular criterion are of equal importance to each other.

A. Technical Approach.

i. Goals and Objectives. The proposal clearly states the overall goal(s) of the program and has specific, measurable objectives. The proposal is relevant to established DHAPP priority activities (see section 6.2 above)

ii. Work Plan and Deliverables. The proposal contains sound scientific methods, an appropriate work plan described in sufficient detail and appropriate deliverables.

iii. Methodology for monitoring and evaluation procedures. The proposed plan includes a description of how the program will have an impact on the country's military and clearly states the indicators of performance that will be used to monitor effectiveness.

iv. Schedule and milestones. The proposed plan for HIV prevention efforts is feasible and contains concrete, achievable schedule and milestones.

v. Relevance to the host country's military. The proposal clearly describes the involvement of the host country military and the relevance of the proposed program to the needs, priorities, and circumstances of the host country's military.

A. Qualifications.

Primary staff members are eligible to perform the work.

B. Cost.

Cost will be evaluated for realism, reasonableness and eligibility. All costs must be listed, justified and match the scope of the effort.

2. Evaluation Panel

Technical and cost proposals submitted under this FOA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. The cognizant NHRC/DHAPP Program Officer or other technical experts drawn from Government, with the assistance of industry and academia, will perform the evaluation of technical proposals. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical or cost-pricing consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this FOA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

3. Evaluation Process.

3.0. Based upon receipt of promising Concept Paper(s), the DHAPP Desk Officer will request a full proposal using the appropriate rating sheet. The Offeror will receive a response either requesting a full proposal or noting the rationale for not requesting one.

3.1. *Step 1*. Full proposals will be reviewed by a primary reviewer (generally a member of DHAPP or a technical expert). Where available an appropriate point of contact at the cognizant US Embassy (for example: the in country DHAPP Program Manager, Defense Attaché Office, Office of Defense Cooperation, or Military Liaison Office), and a representative from the applicable Combatant Command (COCOM) will be given the opportunity to review the proposal. The Embassy and COCOM reviewers will review the proposal's merit and confirm that the proposal(s) meets the applicable theatre security cooperation guidance and other relevant US DoD policies. An additional reviewer may be asked to review the proposal. Proposals will be reviewed by a minimum of two such experts (DHAPP representative, COCOM representative, embassy representative, or other reviewers) prior to review panel submittal.

3.2. *Step 2*. A team of Government technical experts, including experienced scientists, practitioners, and researchers working in the HIV field will evaluate the proposal's technical approach, qualifications and cost for realism and reasonableness. This Proposal Evaluation Panel shall include reviewers external to the DHAPP staff. The Government will use selected support contractor personnel as technical advisors to the Government evaluators. Contractor personnel may also provide administrative assistance in the handling of proposals. All contractor personnel will be bound by appropriate non-disclosure agreements to protect proprietary and source-selection sensitive information.

The Proposal Evaluation Panel will review all proposals, taking into consideration available input from the *Step 1* reviewers. Host nation military willingness to support and work with the offeror will be factored into the final selection decision.

Panel members will rate each proposal using a range from unsatisfactory to outstanding (see details on evaluation ratings below), as well as, provide a vote on an overall recommendation to fund the proposal.

3.3. The Grants Officer will ensure all evaluations are fair and reasonable, and ensure primary staff members are eligible to perform work with the U.S. Government. The Grants Officer will also review costs for realism, reasonableness and eligibility.

4. Evaluation Ratings

Proposals will be rated using the following adjectives and then ranked according to their ratings.

Outstanding – Proposal/factor demonstrates a thorough and detailed understanding of the requirements. Technical approach and capabilities significantly exceed performance and capability standards. Proposal/factor offers one or more strengths. Strengths significantly outweigh weaknesses, if any. The proposal/factor represents a high probability of success with no apparent risk in meeting the Government's requirements.

Above Average - Proposal/factor demonstrates good understanding of the requirements. Technical approach and capabilities exceed performance and capability standards. Proposal/factor offers one or more strengths. Strengths outweigh any weaknesses. The proposal/factor represents a strong probability of success with overall low degree of risk in meeting the Government's requirements.

Satisfactory - Proposal/factor demonstrates acceptable understanding of the requirements. Technical approach and capabilities meet performance and capability standards. Proposal/factor offers no strengths, or, if there are any strengths, these strengths are offset by weaknesses. The proposal/factor represents a reasonable probability of success with overall moderate degree of risk in meeting the Government's requirements.

Marginal - Proposal/factor demonstrates a limited understanding of the requirements. Technical approach and capabilities are questionable as to whether or not they meet performance and capability standards necessary for acceptable contract performance. Proposal/factor contains weaknesses and offers no strengths, or, if there are any strengths, these strengths are outweighed by weaknesses. The proposal/factor represents a low probability of success with overall high degree of risk in meeting the Government's requirements. Proposal/factor might be made satisfactory with additional information and without a major proposal revision.

Unsatisfactory - Proposal/factor demonstrates a lack of understanding of the requirements. Technical approach and capabilities do not meet performance and capability standards necessary for acceptable contract performance. Proposal/factor contains major errors, omissions, significant weaknesses and/or deficiencies. The proposal/factor represents a very low probability of success with an extremely high degree of risk in meeting the Government's requirements. Proposal/factor could only be made satisfactory with a major proposal revision.

Strengths, weaknesses and deficiencies are defined as:

> **Strength** - any aspect of a proposal which, when judged against a stated evaluation criterion, enhances the merit of the proposal or increases the probability of successful performance
>
> **Weakness** - a flaw in the proposal that increases the risk of unsuccessful performance
>
> **Deficiency** – a material failure of a proposal to meet a Government requirement or a combination of significant weaknesses in a proposal that increase the risk of unsuccessful performance to an unacceptable level

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative and National Policy Requirements:

Any award issued as a result of this announcement is subject to the following administrative, cost, and national policy requirements contained therein.

- 2 CFR §200, Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards (Uniform Guidance) as modified and supplemented by the Department of Defense's (DOD) interim implementation found at 2 CFR part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR part 200" (79 FR 76047, December 2014).

  Link to 2 CFR 200:
  http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

  Link to 2 CFR part 1103:
  http://www.ecfr.gov/cgi-bin/text-idx?SID=6b9a1e28b684113253f576ed5b0a3f64&mc=true&node=pt2.1.1103&rgn=div5

  Provisions of Chapter I, Subchapter C of Title 32, CFR, "DoD Grant and Agreement Regulations," other than parts 32 and 33 continue to be in effect and are incorporated herein by reference, with applicability as stated in those provisions.

- Federal Acquisition Regulation (FAR) Part 31.2, Contracts with Commercial Organizations.
  http://farsite.hill.af.mil/reghtml/regs/far2afmcfars/fardfars/far/31.htm

  NOTE: Special requirements may apply to particular Federal awards after the review of applications and other information, based on the particular circumstances of the effort to be support (e.g., if human subjects were to be involved or if some situations may justify special terms on intellectual property, data sharing or security requirements).

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipient reporting information on sub-awards and executive total compensation as codified in 2 CFR 33.110. **Any company, non-profit agency, or university that applies for financial assistance (either grants or cooperative agreements) as either a prime or sub-recipient under this FOA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220.**

An entity is **exempt** from this requirement **UNLESS** in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and sub-grants), and cooperative agreements; b) $25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and sub-grants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

2. Reporting:

In general, reporting requirements include quarterly interim progress reports, quarterly financial reports, final technical report, final financial report, and final patent report. Additional reports may be required based on the program activity.

General Information on Program Deliverables and Reporting -

Compliance with reporting requirements may impact funding. Recommend frequent and continued coordination with the designated NHRC/DHAPP Desk Officer for host country.

The Grantee shall submit reports as set forth below. All reports and correspondence submitted under the Grant shall include the Grant award number.

1) FINANCIAL REPORTING

1.1 Financial Status Reports

(a) Interim Federal Financial Report (SF 425) shall be submitted within 30 days following the end of each calendar quarter and must include in the remarks the location of financial records and a point of contact for the Government to obtain access to the financial records associated with this Grant. The following reporting period end dates shall be used for interim reports: 3/31, 6/30, 9/30, and 12/31.

(b) Final Federal Financial Report (SF 425) is required within 90 calendar days of the completion date for the term of this Grant and must include in the remarks the location of financial records and a point of contact for the Government to obtain access to the financial records associated with this Grant.

(c) Federal Financial Report (SF 425) is required if receiving Advance payments; the Grantee shall submit a Report of Federal Cash Transactions (SF 425) within 15 calendar days following the end of each quarter. The Grantee shall provide forecasts of Federal cash requirements in the “Remarks” section of the report

Financial Reporting Format Instruction:

- **Attach the Financial Reporting Spreadsheet with the SF 425** Submit in excel format along with SF425 in order to monitor expenditures according to the program area(s) [HVAB; HVOP; etc]. The report template will be provided by the Government Program Office/NHRC. Submit 30 calendar days after each reporting period (3/31, 6/30, 9/30, and 12/31). The Recipient shall provide the Quarterly Financial Reporting Spreadsheet in accordance with the template provided by NHRC.

1.2 Payment Documentation

Payment Documentation - **In support of each request for payment (invoice or SF-270) the following information must be supplied to the Government Program Officer with a copy to the Administrative Grants Officer (AGO)/ Administrative Agreements Officer (AAO)**:

- A breakdown of the total requested payments by milestone or task;
- A breakdown of the cost sharing provided to date for each milestone or task;
- A copy of the Government Program Officer's certification that the milestone or task has been completed.

1.3 Audit Reports

The Recipient shall ensure that if an independent auditor is used for this Agreement, copies of any audits conducted shall be provided to the Government. At a minimum, the following shall be provided: (1) a certified statement from the independent auditor for the Recipient stating the amount of matching funds applicable for each Government Fiscal Year allotment and a summary of the source of such matching amounts and (2) a certified statement from the independent auditor evidencing that Recipient has complied with all requirements of this Agreement. Upon completion or termination of this Agreement, the Recipient shall provide a list of all audits conducted which reviewed expenditures under this Agreement.

2) INTERIM PROGRESS: INDICATOR REPORT

This report shall summarize progress in relation to the approved Work Plan as well as monitor grant deliverables. The Grantee shall submit quarterly indicator reports in accordance with the format provided by the Program Office within 45 calendar days following the end of the reporting period: 3/31, 6/30,9/30 and 12/31. The Recipient shall provide reports in accordance with the guidance and template provided by NHRC.

DHAPP Strategic Information Reporting Requirements: The grantee is expected to promptly prepare and submit data results that accurately reflect the contributions of those involved, and all significant findings from work conducted under DHAPP grants. Data reporting deadlines and requirements are clearly communicated by DHAPP to all grantees on a routine basis.

DHAPP grantees are required to:

- If applicable, submit routine program indicator targets and results (e.g. Monitoring, Evaluation and Reporting (MER) Indicators) that reflect expected and achieved results through activities supported by DHAPP awards.
    - Military program indicator data at the Implementing Mechanism level (not at a military site-level) are to be submitted on a quarterly, semi-annual and annual basis into the Office of the Global AIDS Coordinator (OGAC) hosted system Data for Accountability Transparency and Impact Monitoring (DATIM), within the deadlines established by OGAC. **Instruction will be provided after award. Need to insert award template rather than on FOA.**
    - Military program indicator data at the site-level must also be submitted to DHAPP, using the required DHAPP templates, within the deadlines established by DHAPP. DHAPP will provide all orientation and training related to the reporting of site-level data.
- Implementing Partners are responsible for ensuring the quality of data from the point of data collection through report submission, and should make every attempt to either fix or document and communicate to DHAPP data quality issues.
- Implementing Partners are responsible for following the standards defined in the Site Improvement through Monitoring System (SIMS) and are required to participate in program quality assurance and improvement activities, per guidance provided by OGAC.

3) FINAL TECHNICAL REPORT

Within 90 calendar days of completion or termination of this Agreement, the Recipient shall submit a Final Report addressing the technical achievements of the program. The report should provide a synopsis of the research performed and accomplishments made under the Agreement. No proprietary or classified information shall be included in the final report as it is subject to public release.

4) PROPERTY REPORT

Recipients shall submit annually an inventory listing of federally-owned property in their custody. Upon completion of the award, Title to all property and equipment acquired under this grant shall revert to the host nation at the end of the performance period.

5. Payment

Payment may be advance or reimbursable based on the guidelines found in the applicable to 2 CFR §200.305.

Recipient is required to provide information on their financial management systems in order to determine the method of payment to be utilized.

VII. AWARDING AGENCY CONTACT INFORMATION:

For contact information, see Section I. General Information, 8. Points of Contact.

VIII. ATTACHMENTS

1. Narrative
2. Certifications

ATTACHMENT 1
Narratives

N00244-17-S-FO01
(Non-PEPFAR Funded)

NHRC/DHAPP is accepting "Concept Papers" for Burkina Faso as described below through 22 December 2016.

NOTE: Each narrative is a standalone effort and should not be combined with another narrative and all the program elements (tasks) in each specific narrative must be addressed in that concept paper submission.

E-mail address for submission of Concept Papers: usn.nhrc.dhapp@mail.mil

Eligible Applicants are requested to submit **Concept Papers** following the guidelines and format provided in the N00244-17-S-FO01, Section IV.

All respondents must demonstrate the active support of the in-country military and the DoD representative in the corresponding U.S. Embassy in the planning and execution of their proposals. The selected Grantee is the Implementing Partner and will be referred to as IP in this document.

Burkina Faso : Program Sustainment

	Phase 1	Phase 2	Phase 3
HVCT	$70,000	$70,000	$70,000
HVOP	$60,000	$60,000	$60,000
HLAB	$80,000	$80,000	$80,000
HBHC	$90,000	$90,000	$90,000
TOTAL	**$300,000**	**$300,000**	**$300,000**

Proposals are requested to support the Burkina Faso military to reduce the number of new HIV infections and other sexually transmitted diseases among members of the Burkina Faso National Armed Forces (BFNAF), their families, and the civilian communities served by the Burkinabe military. The TBD partner will work directly with the BFNAF to scale-up the military ART program to achieve 90-90-90 goals for HIV epidemic control within the military over the life of this project.

Department of Defense HIV/AIDS Prevention Program (DHAPP) programming to support the Burkina Faso Armed Forces will focus on the following technical areas: 1) HIV/AIDS care and treatment; 2) HIV Testing Services (HTS); 3) Targeted HIV education and prevention activities for external and internal deployment operations; 4) Clinical laboratory support; 5) HIV clinical monitoring and care support including Positive Health, Dignity and Prevention (PHDP) including partner notification/index patient/case finding and; 6) health system strengthening within military HIV service delivery.

The TBD partner's program should emphasize capacity building across all activities and technical areas. All proposals should detail how the partner will engage the BFNAF leadership as well as BFNAF medical personnel at all levels in this work; and, specifically how the partner will utilize the organizational structure of the military to strengthen the internal capacity of the BFNAF to conduct these activities. Within the proposal the partner will need to demonstrate transition of programmatic capabilities and capacity to the military over the life of the grant.

The partner must work in complete coordination with the BFNAF 's HIV prevention and health services, as well as the DHAPP/DoD Program Manager based at the US Embassy in Ouagadougou, and the DHAPP Headquarters Team. The Grantee is the Implementing Partner and will be referred to as IP in this document.

HIV/AIDS Care and Treatment $90,000

Indicator	Label	Military Only
TX_NEW	# of adults and children newly enrolled on ART	50
TX_CURR	# of adults and children currently receiving ART	379
TX_RET	% of adults and children known to be alive and on treatment 12 months after initiation of ART	85%

The IP will work closely with the BFNAF to aggressively scale-up ART coverage of in an effort to achieve 90-90-90 goals for military personnel. Targets for HIV/AIDS care and treatment will focus on generating significant progress towards the 2nd and 3rd 90s: initiation of 90% of HIV-infected military personnel on ART and 90% viral suppression amongst military personnel taking ART.

The BFNAF currently provides HIV/AIDS care and treatment services at 3 military hospitals and clinics in military zones across the country. At present, these three clinical sites provide care and treatment services for a very limited number of BFNAF personnel. The IP will work directly with the BFNAF at the three sites in addition to supporting the expansion and implementation of ART services targeting military personnel to achieve the military HIV care and treatment targets.

The IP will be responsible for supporting the BFNAF:

- Enrollment into HIV clinical care and treatment
  - Aggressive enrollment of HIV-infected military personnel into clinical care and treatment at either the current fixed sites
  - Passive enrollment of HIV-infected civilians and dependents into clinical care and treatment at military ART sites.
- Ongoing clinical support for all Pre-ART and ART patients
  - Ensure clinical monitoring of all HIV+ positive patients including CD4 every 6 months, hemoglobin, creatinine, tuberculosis screening, screening for other opportunistic infections including cryptococcosis, and support access to MOH Viral Load monitoring every 6 months.
  - Support Positive Health, Dignity, and Prevention (PHDP) services including STI screening and treatment, partner/index patient notification and testing, prevention of unintended pregnancies among women living with HIV, Nutritional assessment Counseling Support (NACS) of HIV+ patients, cervical cancer screening, etc.

    - Support universal TB screening using standard TB questionnaire at least every 6 months for 100% of HIV-infected individuals in care
    - Close coordination with the BFNAF to track down and follow enrolled patients that are deployed, to ensure they have their ARTand continue to receive regular CD4 and other required lab checks.
    - Retention support including treatment literacy, active tracing and peer support for HIV+ patients, and other evidence-based retention interventions for adults, children, and pregnant women on ART
- Coordination of HIV clinical care and treatment services
    - Promoting ongoing communication and collaboration between the BFNAF clinical services and other district/provincial/national level care and treatment programs and/or government entities to track and monitor military personnel not enrolled in the military health care structure.
    - Support the availability of essential HIV clinical commodities through support for forecasting, responsible use, stock management, and other activities critical to ensuring a secure supply
    - Ensuring HIV+ patients exhibiting immunologic failure on first-line ART are screened for adherence and switched to appropriate second-line therapy (based on available population-level genotypic resistance data) when indicated
    - Referral for hospital admission when clinically indicated
- In future years, as viral load capacity is developed, will support and participate in viral load testing through national guidelines, with reporting on:
    - TX_VIRAL: Percentage of ART patients with a viral load result documented in the medical record within the past 12 months
    - TX_UNDETECT: Proportion of viral load tests with an undetectable viral load (<1000 copies/ml)

HIV/AIDS Testing Services $70,000

Technical Area Targets, Year 1		
Indicator	**Label**	**Military Only**
HTC_TST	# of individuals who received HTS services for HIV and received their test results	5,000

The IP will work closely with the BFNAF to aggressively scale-up HIV Testing Services in targeted military groups in an effort to achieve the 1st 90 for military personnel: 90% of all BFNAF PLHIV know their status. Commonly, military PLHIV only access treatment

at one of the three military ART facilities when they are symptomatic. In an effort to reach these men and women before they become symptomatic, HTS will focus primarily on outreach testing targeted military groups. These groups will be determined as older men, frequently deploying, and defined as a high risk group by the 2009 seroprevalence study. Provider-Initiated Testing and Counseling (PITC) will continue in the fixed sites for both the military and civilian cohorts. Ensuring that any positives identified are linked to HIV care and treatment is essential to the success of the BFNAF program. The IP should work to achieve 100% linkage of HIV+ individuals identified through PITC and 100% of HIV+ individuals identified through outreach testing to HIV clinical care and treatment. The IP will monitor HIV testing yield; modifying strategies or locations that are not identifying and/or linking significant numbers of HIV positive persons to HIV care and treatment.

The IP will be responsible for:

- Outreach HTS to military bases and facilities
  - Diagnosing 100 military PLHIV with 100% of those diagnosed linked to HIV care and treatment services
  - Index-case testing for family members and dependents of HIV-infected military personnel
  - Index-case testing for HIV-infected spouses and dependents of military personnel
- Provider-Initiated testing and counseling within military health services for both military personnel and civilians with 100% of positives diagnosed through PITC linked to HIV care and treatment services
- Quality Improvement / Quality Assurance for all BFNAF HTS including proficiency testing, continuous training, and mentoring
- 100% tracking PLHIV from HTS to clinical care and treatment services

Targeted Prevention Activities $60,000

Technical Area Targets, Year 1		
Indicator	**Label**	**Target**
PP_PREV	% of individuals from priority populations who completed a standardized HIV prevention intervention, including the specified minimum components, during the reporting period	26%
PP_PREV	Number of individuals from priority populations who completed a standardized HIV prevention program including the specified minimum components during the reporting period.	8,000

The IP will support the BFNAF to continued HIV education and outreach activities for recruits, units deploying on PKO and internal deployment, and other high risk units or

groups in high prevalence areas. The IP will be required to ensure that materials being used are up-to-date with the most current information and international considerations tailored to the military context. The IP will also support the BFNAF to continue and its HIV education programming.

The IP will be responsible for:

- Supporting the BFNAF to continue its HIV education program for deploying PKO, and outreach to bases in at least 3 military regions within each calendar year.
- Maintain all training materials and curricula are current and up-to-date with the most recent guidelines and recommendations for HIV prevention, and HTS.

Clinical Laboratory Support $80,000

The IP will support recommendations from previous assessments of the current lab capacity to work with the BFNAF clinical and laboratory staff in support of BFNAF laboratory services.

The IP will be responsible for:

- Purchase of small laboratory equipment, aligned with the national and international laboratory standards and guidelines as well as consumables
- Inventory control, forecasting, and procurement of laboratory reagents to ensure that laboratory services are uninterrupted
- Installation of equipment, procurement of service maintenance contracts (when applicable), and training of the laboratory staff on the use of the equipment
- Establish relationship linkages from BFNAF laboratory services to Ministry of Health laboratory resources at the district, provincial, and national levels

WORK PLANS

Grantee must submit annual, programmatic and financial, work plans to DHAPP Program Manager and DHAPP HQ (Budget breakdown per activity and for program management is required). Work plans include activities implementation timeline, including the M&E ones. Funding amount in year 1 is related to start-up costs need to initially build the program. All materials and equipment purchased for this grant will be turned over to the BFNAF at the completion of the period of performance.

REPORTING

- **Quarterly Fiscal Reports: Grantee must submit quarterly programmatic and financial reports to DHAPP in order to monitor expenditures according to the program area(s) [HVAB; HVOP; etc]. The report template will be provided by DHAPP. Submit 30 calendar days after each reporting period (3/31, 6/30, 9/30, and 12/31).**
- **Interim Progress: Indicator Report: This report shall summarize progress in relation to the approved Work Plan as well as monitor grant deliverables. The Grantee shall submit quarterly indicator reports in accordance with the format provided by the Program Office within 45 calendar days following the end of the reporting period: 12/31, 3/31, 6/30 and 9/30. The Recipient shall provide reports in accordance with the template provided by NHRC**
- **Reports will follow DHAPP Headquarters and Country Team Templates**
- **The IP will be expected to submit strategic information reports on quarterly basis for all activities that are being conducted under this grant.**



ATTACHMENT 2

Certifications, Assurances and Other Statements of the Recipient

Certifications, Assurances, Other Statements of the Recipient and Standard Provisions

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term “Grant” means “Cooperative Agreement.”

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from the United States Department of Defense (DoD), and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) On the basis of race, color, religion, sex or national origin, in Executive Order 11246 (3 CFR, 1964-1965 Comp. p. 339), as implemented by Department of Labor regulations at 41 CFR part 60.

(3) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(4) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(5) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(6) DoD regulations implementing the above nondiscrimination laws, set forth in Title 32 CFR part 195.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of

the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the DoD Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:
(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subawards, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance
“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of

Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31,

U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure."

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals

The Recipient understands that the U.S. Government reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224
By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by OFAC, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by United States Government (USG) to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: **http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm**.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification –

a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

(i) “Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) “Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: **http://untreaty.un.org/English/Terrorism.asp**); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USG funds or USG-financed commodities to the ultimate beneficiaries of USG assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USG prior to the end of its term.

5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013

Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds $500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:
1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision "Trafficking in Persons" and is in compliance with that plan;

2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision "Trafficking in Persons" and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and

3. To the best of the representative's knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision "Trafficking in Persons."

6. Certification Regarding Debarment, Suspension, and Other Responsibility Maters *– PRIMARY COVERED TRANSACTIONS*

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

7. Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition:

(b) Establishing an ongoing drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance:

8. Statement of Condoms

The recipient certifies that information provided about the use of condoms as part of projects or activities that are funded under this Grant shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, "USAID: HIV/STI Prevention and Condoms." This fact sheet may be accessed

at: http://www.usaid.gov/sites/default/files/documents/1864/condomfactsheet.pdf

The prime recipient must flow this provision down in all subawards, procurement contracts, or subcontracts for HIV/AIDS activities.

9. Codes of Conduct:
The recipient certifies that it will comply with 2 CFR 215.42, Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contract supported by federal funds. This provision will be incorporated into all grants awarded under this FOA.

10. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, (5) the Certification Regarding Trafficking in Persons, (6) the Certification Regarding Debarment, Suspension, and Other Responsibility Matters, (7) the Certification Regarding Drug-Free Workplace Requirements, (8) Statement of Condoms, and (9) Codes of Conduct.

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Funding Opportunity Announcement No._____

Application No._____

Date of Application _____

Name or Recipient _____

Typed Name and Title _____

Signature _____

Date _____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____ Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

_____

Date of Birth: _____

NOTICE:
1. Your organization is required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If your organization makes a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Name: _____

Date: _____

Address: _____

_____

Date of Birth: _____

NOTICE:
1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Representation Regarding and Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law – DOD Appropriations:

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction and attaching the representation to block 21 of the SF-424, Application for Federal Assistance, as part of the electronic proposal submitted via Grants.gov.

Application Representation:

Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law – DoD Appropriations

(1) The applicant represents that it is ___ is not___ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(2) The applicant represents that it is__ is not __a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless a Federal agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

Part V - Representation Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements:

Agreement with the representation below shall be affirmed by checking the "I agree" box in block 21 of the SF424 as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

RECIPIENT CERTIFICATION OF COMPLIANCE

To: Executive Director/CFO
Name of Grantee

I,_____, _____, as a legally authorized
Name (Printed or Typed) Title

representative of _____
Organization Name

do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, Federal, and U.S. Government regulations with respect to the management of, among other things, personnel policies (including salaries), travel, indirect costs, and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by 2 CFR §200.501 to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and U.S. Government requirements. The conclusions of that compliance review will be included in the A-133 audit reports or the incurred cost audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

_____
Signature

_____
Type or Print Name

_____
Position Title

_____
Date of Execution