# BROAD AGENCY ANNOUNCEMENT (BAA)
# Number DHAPP-BAA-13-001

# "FY13 – FY14 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"

## INTRODUCTION

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 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 www.grants.gov for possible amendments to this BAA.

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 BAA 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 BAA, Number 13-001, 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. GENERAL INFORMATION

### 1. Agency Name:

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

Contracting Agency:
Naval Supply System Command (NAVSUP)
Fleet Logistics Center San Diego (FLC San Diego)

**2. Opportunity Title:** FY13 – FY14 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. Opportunity Number:** DHAPP-BAA-13-001

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

**5. Response Date:** This BAA is a continuously open announcement and will remain open until **4:00 p.m. (PDST), 30 September 2014,** unless announced otherwise. Proposals received after this time will not be considered for award.

***This announcement replaces DHAPP-BAA-12-001 (including all amendments)***

Concept Papers may be submitted at any time during this period. 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.

## 6. Opportunity Description:

6.1 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.

**This BAA allows DHAPP to assist countries where <u>militaries are not funded under PEPFAR</u>.**

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/dhapp/background/Pages/default.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 programs with courses of action that demonstrate:

- Visible support from the military sector.
- Development of plans of action and policies.
- Alignment with Combatant Command (COCOM) blueprint, as well as national strategies and priorities.
- Increasing awareness within the military sector.
- Country military ownership of its activities.
- Prevention plans focusing on prevention of sexual transmission through voluntary counseling and testing, sexually transmitted infection (STI) prevention and management, behavioral interventions, reduction of concurrent partnerships, prevention and care of opportunistic infections, 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.
- 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.

6.2 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.

DHAPP's current priority activities include the following:

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

- Training of master trainers and peer educators.
- “Troop Level” HIV/AIDS prevention education and behavior change communication.
- Evaluating specific prevention interventions in military contexts
- Providing infrastructure and equipment to support HIV testing, care and/or treatment.
- Increasing testing of all military personnel.
- Developing HIV laboratory diagnostic and monitoring capabilities.
- Increasing clinical capability and other human resources for health care of those infected with HIV.
- 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 male circumcision (MC) in high prevalence countries who are supportive of MC as an effective prevention intervention.
- Providing peacekeeping prevention and care interventions in militaries that contribute significant peacekeepers.

This BAA 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.

**7. Point(s) of Contact**:
Questions or assistance needed ***regarding the grants.gov*** registration process, system requirements, or submittal process shall be directed to grants.gov by phone at 1-800-518-4726 or e-mail to support@grants.gov.

Questions of a **business** nature shall be directed to:

Janet Norton
Contract and Grant Officer
NAVSUP FLC San Diego
1942 Gaffney Street, Suite 100
Bldg. 475-2, Code 200
Pearl Harbor, HI 96860-4549
E-mail: Janet.Norton@navy.mil

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

Braden Hale
Captain, Medical Corps, USN
Director, DHAPP Program
Naval Health Research Center
Department of Defense HIV/AIDS Prevention Program
140 Sylvester Road, Bldg 304
San Diego, CA 92106-3521
E-mail: NHRC-DHAPP@med.navy.mil

**NOTE: Any questions regarding this announcement must be provided to the Points of Contact listed above. All questions shall be submitted in writing by electronic mail.**

**8. 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.

Offerors 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.

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

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

**11. Additional Information:**

Proposals come from the following Program Areas, but should focus on the narratives in Attachment 1:

**Prevention**
Prevention of Mother to Child Transmission (MTCT)
Abstinence/Be Faithful (HVAB)
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 Defense Health Program (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. The DHAPP Identity is available on the DHAPP website at http://www.med.navy.mil/sites/nhrc/dhapp/photos/Pages/DHAPPLogo.aspx and NHRC/DHAPP provides it without royalty, license, or other fee to recipients of DHAPP-funded grants or cooperative agreements.

## II. AWARD INFORMATION

1. Grants are expected to have a base phase with a minimum of one (1) and a maximum of three (3) years. Additional phases are at the discretion of the government.

2. For each country where funding is available, Attachment 1 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 this information will be provided in the form of amendments to this announcement.

3. Anticipated Period of Performance for Awards: The period of performance is generally one year from the effective date of award, with up to two additional phases subject to availability of funding. **Offerors are encouraged to propose additional phases in their submissions, if appropriate.**

4. Range of Approval/Disapproval Time:

**Subject to the availability of funds, up to three evaluation cycles will be conducted during this BAA. The first round of full proposals will be selected approximately 45 days after the date of this BAA.** Two other subsequent rounds of evaluations are anticipated based upon funding availability. **PLEASE MONITOR 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 three 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.

5. 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.

6. 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 BAA. 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.

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 BAA 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.

## 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:

NHRC-DHAPP@med.navy.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 www.grants.gov, specifically http://www.grants.gov/applicants/app_help_reso.jsp

Use the Grants.gov Organization Registration Checklist at: http://www.grants.gov/applicants/get_registered.jsp 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 BAA).

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

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

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 BAA.

**5. CENTRAL CONTRACTOR REGISTRATION (CCR)/SYSTEM FOR AWARD MANAGEMENT (SAM) AND DATA UNIVERSAL NUMBERING SYSTEM (DUNS) REQUIREMENTS**

a) System for Award Management (SAM): All Offerors 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/

**NOTE TO FORMER CCR REGISTRANTS**: If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances occurs, therefore, requiring a change in SAM in order to process an award or payment. SAM will send notifications to the registered user via email 60, 30, and 15 days prior to record expiration. You can search for registered entities in SAM by typing the DUNS number or business name into the search box.

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 BAA, 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 BAA 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 BAA at 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.

Offerors 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

OFFERORS 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 BAA 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 BAA 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 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, 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 should
  be sent to the attention of the e-mail address referenced in Section IV.1. above. The subject line of e-mail shall read **"DHAPP-BAA-13-001 CONCEPT PAPER APPLICATION."**

**Concept Paper Content**

- **Cover Page** (1 page) – The Cover page shall be labeled "**DHAPP-BAA-13-001 CONCEPT PAPER APPLICATION,**" proposed title, proposed date, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and e-mail addresses. It shall be signed by an Authorized Officer.

- **Section I: Executive Summary** (1 page or less) –
  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 BAA, 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 BAA. 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 proposal and a Cost/Business proposal.

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 30 pages. Section III has no page limit. The cover page and table of contents are excluded from the page limitations. Proposals exceeding the page limit may not be evaluated (see note above).
- Copies – one (1) electronic copy in Adobe PDF or Word delivered via e-mail, containing all required sections. Electronic (e-mail) submissions should be sent to the attention of e-mail address reference in Section IV.1. above. The subject line of e-mail shall read **"DHAPP-BAA-13-001 FULL PROPOSAL SUBMISSION."**

## Full Proposal Content

- **Cover Page** - Should include the words "Technical Proposal" as well as the following:
  (1) BAA Number **DHAPP-BAA-13-001**
  (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. Priority activities for DHAPP include (1) training of master trainers and peer educators, (2) "Troop Level" HIV/AIDS prevention education and behavior change communication, (3) providing infrastructure and equipment for HIV testing, care and treatment centers, (4) increasing testing of all military personnel (5) developing HIV laboratory diagnostic and monitoring capabilities, (6) increasing clinical and human resource capabilities for health care of those infected with HIV, and (7) effective methodologies for monitoring and evaluation procedures. (see Section I. 6.2 above for Program Purpose and Plan).

- **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, Program Area Budget Code (use 2-digit - 4-letter abbreviation), Funds Requested, and Brief Statement of Work.

- **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**. Offerors 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 BAA 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 BAA. A copy of any and all publications, including appropriate acknowledgement language, that are funded by this BAA 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.

- **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., 25 peer educators will be trained, 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 (manuals, posters, drama video or other media) for an HIV prevention education program.
- Train 50 master trainers to provide HIV prevention training.

Quarter 2:

- Administer knowledge/attitude/behavior pretest survey to 500 military members.
- Refurbish 2 military health clinics to provide VCT services.
- Quarter 3:
- Master trainers will deliver training to 300 military members.
- 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) Offerors should provide a clear description of how the grant or cooperative agreement will be managed, including the approach to addressing potential problems. Offerors 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. Offerors shall specify the composition and organizational structure of the entire project team (including 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, offerors 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) Offerors 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) Offerors 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) Offerors 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: Offerors 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: Offerors 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.

Offerors should support its organization's effectiveness and provide partnership arrangements. Offerors should propose how they will coordinate with the host country military as well as with other district partners and/or PEPFAR 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. Offerors 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. Offerors 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. Offerors 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 Offeror 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 and AIDS systems, and to improve the quality and use of data for decision making and advance organizational capacity building. The Offeror 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** – Offerors are required to 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.

- **Section III: Cost Application Format**

The Cost Application must be submitted separately from the Technical Application. While there is no page limit for this portion, Offerors are encouraged to be as concise as possible, but still provide the necessary details. The cost application shall include completed SF-424 forms and an accompanying budget narrative that provides in detail the total costs for implementation of the program your organization is proposing, other certifications and an accompanying budget narrative that provides in detail the total costs for implementation of the program your organization is proposing, other certifications assurances; other information as may be required by NHRC/FLC San Diego according to its policies and procedures and circumstances pertaining to the specific application. Budget detail is required for both the NHRC-funded portion of the program and cost share portions, if any, of the program.

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 40% 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 10% of the total budget shall be proposed for executive level workshops. If your budget deviates from these budget guidelines, provide sufficient justification**.**

The Offeror must use the Grants.gov budget forms from the application package template associated with this BAA 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.

The cost proposal follows the technical proposal as one document and is uploaded to Grants.gov as one document. The cost proposal, which is a *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.

**Costs proposed must conform to the following principles and procedures**:

Educational Institutions: OMB Circular A-21, relocated to 2 CFR 220

Non-Profit Organizations: OMB Circular A-122, relocated to 2 CFR 230*****

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. If negotiated forecast rates do not exist, offerors 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 Offeror'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.

**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 offerors' 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.

**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.

**Materials, Supplies, and Consumables**: A general description and the total estimated cost of expendable equipment and supplies are required. The basis for developing the cost estimate (vendor quotes, invoice prices, engineering estimate, purchase order history, etc.) shall be included. A material list should be included.

**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** – Offerors 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 Offeror'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.

**Materials, Supplies & Consumables** – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for developing the cost estimate (vendor quotes, invoice prices, engineering estimate, purchase order history, catalog price lists, etc.) must be included.

**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), 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.

NOTE: Your budget should clearly describe the personnel management and staffing costs by individual and further break down the percent of time each individual will be working on the project. Other administrative costs associated with project management should also be identified.

Separate from the budget discussed above, your statement of work (SOW), (see Attachment 4), shall distribute the management and staffing costs across the technical program areas other than HVMS.

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 Offerors 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.

B. Qualifications.
Primary staff members are eligible to perform the work.

C. 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 BAA 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 BAA 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 Country Support Team (DCST) 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 be reviewed by a primary reviewer (generally a member of the DHAPP Country Support Team or a technical expert). Where available an appropriate point of contact at the cognizant US Embassy (for example: the DoD DHAPP Program Manager in country, Defense Attaché Office, Office of Defense Cooperation, or Security Assistance Office), and a representative from the applicable 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 (DCST representative, COCOM representative, embassy representative, or other review) 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 AND ADMINISTRATION INFORMATION

### 1. Policy Requirements –

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

- OMB Circular A-110, relocated to 2 CFR Part 215. "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations."
- Department of Defense Grant and Agreement Regulations (DoDGARS 3210.6-R)
- OMB Circular A-21, relocated to 2 CFR Part 220. "Cost Principles for Educational Institutions."
- OMB Circular A-122, relocated to 2 CFR Part 230. "Cost Principles for Non-Profit Organizations."
- Federal Acquisition Regulation (FAR) Part 31.2, Contracts with Commercial Organizations.

- OMB Circular A-133. “Audits of States, Local Governments, and Non-Profit Organizations.”

An electronic copy of OMB regulations may be found at:
http://www.whitehouse.gov/OMB/grants

An electronic copy of DoDGARs may be found at:
http://www.dtic.mil/whs/directives/corres/html/321006r.htm

**2. Terms and Conditions -**

This grant is subject to the terms and conditions in Attachment 3.

**3. Payment**

Payment may be advance or reimbursable based on the guidelines found in the applicable DoD Grant and Agreement Regulation, DoD 3210.6-R#.

Respondents are required to provide information on their financial management systems at time of award in order to determine the method of payment to be utilized.

**4. 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 semi-annual progress reports in accordance with the format provided by the Program Office within 30 calendar days following the end of the reporting period: 3/31 and 9/30. The Recipient shall provide reports in accordance with the template provided by NHRC.

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.

## VII. ATTACHMENTS

1. Narratives
2. Certifications
3. Terms and Conditions
4. Program Areas and sample Statement of Work spreadsheet format

# DHAPP-BAA 13-001 ATTACHMENT 1

**Multi Country**

**HVOP: $80,000**

Proposals are solicited to develop effective behavioral prevention programs for military personnel. Data from military biologic behavioral surveillance surveys demonstrates a relationship between a range of alcohol consumption patterns including alcohol related disorders in militaries and their relationship to risk behaviors and sexually transmitted infections including HIV. Alcohol use undermines behavioral programs aimed at preventing the spread of HIV in the uniformed services and the effectiveness of HIV/AIDS treatment programs. Many militaries with significant HIV rates have no formal doctrine or policy on alcohol use/abuse by their uniformed members.

The TBD partner will provide technical assistance and collaborate with DHAPP on the following areas of development and/or implementation:

- Baseline country assessment tool for situational analysis of alcohol prevention, regulations, policies, context considerations for addressing alcohol in the military and its HIV prevention program.
- Process around conducting small groups with military leadership to inform program development (including the development of a facilitation guide, collation/analysis of information gained from small groups, process adaptation for programmatic next steps).
- Military specific alcohol policy considerations and details to guide its implementation, proposed repercussions, necessary structural considerations that may accompany specific policy language
- Leadership Education training content which facilitates alcohol policy development and implementation.
- Tiered alcohol education content for leadership, middle managers/small unit leaders, troops
- Review of data available from DHAPP supported surveys to understand scope of alcohol problem
- Compilation and critical review of materials in military HIV programs surrounding alcohol
- Review of WHO assessments and other potential programs to adapt/use in foreign militaries

# DHAPP-BAA 13-001 ATTACHMENT 2

# CERTIFICATIONS

Respondent: _____
Country: _____
Program Title: _____

## *CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS – 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.

## *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:

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[Street address] [City, County, State] Zip Code]

Check if there are workplaces on file that are not identified here.

***LOBBYING CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS***

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 an 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 grant, 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 shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall 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, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

_____

[Typed Name and Title of Official] [Name of Organization/Institution]

_____

[Signature of Official responsible for this transaction] [Date]

## *STATEMENT ON CONDOMS AND OPPOSITION OF PROSTITUTION AND SEX TRAFFICKING*

### CONDOMS

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/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html

### PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this Grant may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and when proven effective, microbicides.

(b) Except as noted in the second sentence of this paragraph, as a condition of entering into this Grant or any subagreement, any grantee/subgrantee must have a policy explicitly opposing prostitution and sex trafficking. The following organizations are exempt from this paragraph: the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(c) The following definition applies for purposes of this provision
Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The grantee shall insert this provision, which is a standard provision, in all subagreements.

(e) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by the Grants Officer prior to the end of its term.

*[Name of Organization/Institution]* hereby complies as applicable with the above Statements.

_____

[Typed Name and Title of Official] [Name of Organization/Institution]

_____[

Signature of Official responsible for this transaction] [Date]

# CERTIFICATION REGARDING TERRORIST FINANCING

## PREVENTING TERRORIST FINANCING -- IMPLEMENTATION OF E.O. 13224 (JUNE 2012)

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.

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 list is maintained by the United States Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf, 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 website: 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."

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 shall 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 shall be grounds for unilateral termination of the agreement by UNITED STATES GOVERNMENT prior to the end of its term.

**APPLICANT:**

Name: _____Signature: _____

Title: _____ Date: _____

# Prohibition on Assistance to Drug Traffickers for Key Individuals

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.

# 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 OMB 2 CFR 215 and DoD Grant and Agreement Regulations, DoD 3210.6#, 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

**NAVSUP FLEET LOGISTICS CENTER (FLC) SAN DIEGO**
**GOVERNMENT-WIDE CORE**
**AGENCY SPECIFIC REQUIREMENTS**
**NON-PROFIT ORGANIZATIONS & EDUCATIONAL INSTITUTIONS**
**(December 2011)**

**DoDGARS Part 32 http://www.dtic.mil/whs/directives/corres/pdf/321006r32p.pdf**
**2CFR Part 220 http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf**
**2CFR Part 230 http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf**
**2CFR Part 215 http://www.whitehouse.gov/omb/fedreg/2004/040511_grants.pdf**
**Forms http://www.onr.navy.mil/02/024/forms**
**Office of Management and Budget: Open Government Directive**
**http://www.whitehouse.gov/omb/open**

The Naval Supply Systems Command FLC San Diego Government-wide Core Agency Specific Requirements of October 2009 are applicable to all new and renewal awards effective on or after October 2009.

ARTICLES

1. Awards Covered by Government-wide Core T&Cs
2. Prior Approval Requirements not Included in the General T&Cs
3. Unallowable Direct Costs Aside from Those in 2CFR 220&230
4. Contact Information for Technical Matters
5. Contact Information for Administrative Matters
6. Contact Information for Intellectual Property Matters
7. Revised Budget Requirements
8. Technical Reporting
9. Financial Reporting
10. Incremental Funding Actions
11. Payments
12. The Need for Additional Federal Funding
13. Equipment
14. Phases or Options
15. Condoms
16. Supplies
17. Reporting Potentially Classifiable Information
18. Termination
19. Enforcement
20. Closeout Procedures
21. Collection of Amounts Due
22. Option to Renew
23. Amendment of the Grant
24. Activities Abroad
25. Cargo Preference
26. Controlled Unclassified Information
27. Controlled Unclassified Information

**Article 1. Awards Covered by Government-wide Core T&Cs**

All domestic research grants subject to 2 CFR Part 215. The Government-wide Core T&Cs do not apply to cooperative agreements, contracts and other transactions.

**Article 2. Prior Approval Requirements not Included in the General T&Cs**

Notwithstanding Article Number 25.(c)(2)(i) of the Government-wide Core Terms and Conditions, prior written approval is required to extend the period of performance, without additional funds, beyond the expiration date of this grant. The Administrative Grant Officer (AGO) at the Administrative Office cited in the Award/Modification document has authority to approve no funds extension requests meeting all of the following parameters:

(a) a one-time basis only; and
(b) for a period not to exceed 90 days; and
(c) where $50,000.00 or less of obligated funds remain to be expended.

In other cases, where a request is outside of one or more of the above parameters, a no funds extension can only be approved with the concurrence of the Government Technical Representative cited in the Award/Modification document. For any no funds extension to be effective, a written grant modification must be issued and signed by the AGO at the Administrative Office cited in the Award/Modification document or the Awarding Office cited in the Award/Modification document.

**Article 3. Unallowable Direct Costs Aside from Those in 2CFR 220&230**

None

**Article 4. Contact Information for Technical Matters**

Questions regarding technical matters should be referred to the Technical Representative cited in the grant.

**Article 5. Contact Information for Administrative Matters**

Questions regarding administrative matters should be referred to the Administrative Grants Officer (AGO) at the Administrative Office cited in the grant.

**Article 6. Contact Information for Intellectual Property Matters**

Questions regarding intellectual property matters should be referred to the ONR Patent Office cited in the grant.

**Article 7. Revised Budget Requirements**

FLC San Diego does not require standard budget forms. Revised budgets, when required, may be submitted in the recipient's format.

**Article 8. Technical Reporting**

(a) Technical reporting requirements are cited in the Award/Modification.

(b) If reports are requested in the Award/Modification, the Grantee shall submit the performance results within ninety (90) calendar days after the end date of the Grant.

(c) The Grantee shall include a completed "Report Documentation Page" Standard Form (SF) 298 as the last page of the performance results prepared under this Grant. The form and instructions are available on the Office of Naval Research Home Page at http://www.onr.navy.mil/02/024/forms. However, Block 12a. of the SF 298 should be completed with the following distribution/availability statement: "Approved for Public Release; Distribution is Unlimited." If the Grantee does not agree with that distribution/availability, the Grantee should contact the cognizant AGO at the Administrative Office cited in the Award/Modification document.

**Article 9. Financial Reporting**

Financial reporting requirements are cited in the grant.

**Article 10. Incremental Funding Actions**

No additional documentation is required to trigger an increment. However, recipients should note that low expenditure rates reported on payment requests might be cause for deferral of future funding increments.

**ARTICLES WITH GOVERNMENT-WIDE CORE REFERENCE**

**Article 11. Payments**

Forms and instructions available at http://www.onr.navy.mil/Contracts-Grants.aspx

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 22**

(a) All payments shall be made by funds transfers to the bank account registered in the Central Contractor Registration (CCR), http://www.ccr.gov. The Grantee agrees to maintain its registration in the CCR including information necessary to facilitate payment via Electronic Funds Transfer (EFT). Should a change in registry or other incident necessitate the payment to an account other than that maintained in CCR, it is the Grantee's responsibility to notify the AGO and obtain a modification to this Grant reflecting the change. The Government shall not be held responsible for any misdirection or loss of payment which occurs as the result of a Grantee's failure to maintain correct/current EFT information within its CCR registration.

(b) Any request for advance payments must be approved by the Administrative Grants Officer (AGO) at the Administrative Office shown in the award.

(c) Wide Area Work Flow (WAWF) has been designated as the Department of Defense standard for electronic invoicing and payment. To facilitate this effort for Universities and Nonprofit Organizations with awards administered by the Office of Naval Research (ONR) Regional Offices, DoD has established the ONR Electronic Payment System (PayWeb) (https://services2.onr.navy.mil/http/sysm.onr.navy.mil:7777/payweb/PayWeb.jsp), as an initial entry point to WAWF. If the Grantee participates in the PayWeb system, the Grantee shall submit an electronic request for payment to the Administrative Grants Officer (AGO) at the Administrative Office in the award, using the standard PayWeb processes.

(d) Participation in the PayWeb system requires the Grantee to obtain an External Certificate Authority (ECA) certificate from an approved Certificate Authority for access. Operational Research Consultants (ORC) (http://www.eca.orc.com) and Verisign (http://www.verisign.com/gov/ieca) are approved ECA Authorities. If you have questions or require technical assistance in implementing your certificate, contact the Navy PKI Help Desk at 1-800-304-4636. The Grantee shall contact the AGO at the Administrative Office cited in the award for instructions on how to register and use WAWF and PayWeb.

(e) Electronic submission of payment requests requires the Grantee to register in WAWF and have the appropriate CAGE code activated. The Grantee's CCR Electronic Business Point of Contact (EBPOC) is responsible for activating the CAGE code in WAWF by calling 1-866-618-5988. Once the Grantee's CAGE Code is activated, the CCR EBPOC will self-register in WAWF (https://wawf.eb.mil) and follow the instructions for a group administrator. The AGO will assist in this process.

(f) If the Grantee is a For-Profit entity or does not participate in the ONR PayWeb System, the Grantee shall submit payment requests electronically via Wide Area Work Flow (WAWF). The Grantee shall Contact the AGO at the Administrative Office cited in the award for instructions on how to register and use WAWF.

**Article 12. The Need for Additional Federal Funding**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 25, SECTION (b) (3)**

The Government's financial obligation is limited to the amount shown as "Total Funds Obligated on Award," in the Award/Modification document.

**Article 13. Equipment**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 34**

Title to all equipment purchased or fabricated with Federal Government funds provided under this grant or recipient cost sharing funds, as direct costs of the project or program, shall unconditionally

vest in the recipient upon acquisition without further obligation to the Federal Government unless other conditions are imposed in the award.

**Article 14. Phases or Options**

If this agreement contains phase(s) or Options the following article applies. The Government reserves the right to fund Phase(s) unilaterally for continuation of research and services as detailed in the Award/Modification document.

**Article 15. Condoms**

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/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html

**Article 16. Supplies**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 35**

Notwithstanding GOVERNMENT-WIDE CORE Article Number 35(a), title to supplies and other expendable property shall vest in the recipient providing the residual inventory of unused supplies does not exceed $5,000 in total aggregate value upon termination or completion of the project or program. If the value of residual supplies exceeds $5,000, the provisions of OMB Circular A-110 Section 35 (2CFR 215.35) apply.

**Article 17. Reporting Potentially Classifiable Information**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 54**

The official referred to in GOVERNMENT-WIDE CORE Article 54(b)(1) is the Program Officer designated in the Grant.

**Article 18. Termination**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 61**

In case of a partial or full termination by the recipient, the recipient shall provide the required written termination notice to the FLC San Diego Grants Officer and AGO at least 30 calendar days prior to the effective date of termination.

**Article 19. Enforcement**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 62**

The recipient shall submit claims arising out of or relating to this grant in writing to the FLC San Diego Grants Officer or AGO, as appropriate, and shall specify the nature and basis for the relief requested and include all data that supports the claim. The recipient and FLC San Diego

Grants Officer/AGO shall attempt to resolve all issues at the FLC San Diego Grants Officer/AGO level.

**Article 20. Closeout Procedures**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 71**

Within ninety (90) calendar days after the end date of the Grant, any overpayment of funds provided by the Grant shall be remitted to the AGO at the Administrative Office shown in the Award/Modification document, by check made payable to the US Treasury, DFAS, or Department of Navy.

**Article 21. Collection of Amounts Due**

**REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 73**

In absence of mutual agreement between the recipient and FLC San Diego, the FLC San Diego Grants Officer/AGO shall make a determination regarding any recipient indebtedness and submit a written notice of such a decision to the recipient. Within 30 calendar days of the FLC San Diego Grants Officer's/AGO's determination, the recipient shall either pay the amount owed or inform the FLC San Diego Grants Officer/AGO of the recipient's intent to appeal the determination. If the recipient elects not to appeal, any amounts not paid within 30 calendar days of the FLC San Diego Grants Officer's/ AGO's determination will be considered a delinquent debt. The recipient and FLC San Diego Grants Officer/AGO shall attempt to resolve all issues at the FLC San Diego Grants Officer/AGO level.

**ARTICLES WITH NO GOVERNMENT-WIDE CORE REFERENCE**

**Article 22. Option to Renew**

If an option is indicated in the Award/Modification document, the Government may require the continuation of the research as detailed in the Award/Modification document. The option must be exercised by a modification to the Grant.

**Article 23. Amendment of the Grant**

Requests by the Grantee to amend a grant must be in writing to the AGO at the Administrative Office cited in the grant. Such requests only become official when incorporated by modification issued by an AGO or FLC San Diego Grants Officer.

**Article 24. Activities Abroad**

The Grantee shall assure that project activities carried on outside the United States are coordinated as necessary with appropriate Government authorities and that appropriate licenses, permits, or approvals are obtained prior to undertaking proposed activities. The awarding agency does not assume responsibility for Grantee compliance with the laws and

regulations of the country in which the activities are to be conducted.

**Article 25. Cargo Preference**

The recipient agrees that it will comply with the Cargo Preference Act of 1954 (46 U.S.C. 1241), as implemented by Department of Transportation regulations at 46 CFR 381.7, which require that at least 50 percent of equipment, materials or commodities procured or otherwise obtained with U.S. Government funds under this Grant, and which may be transported by ocean vessel, shall be transported on privately owned U.S.-flag commercial vessels, if available.

**Article 26. Profit or Fee**

In accordance with DODGARs 22.205(b), no fee or profit may be charged to this grant.

**Article 27. Controlled Unclassified Information**

The parties understand that information and materials provided pursuant to or resulting from this Grant may be export controlled, sensitive, for official use only or otherwise protected by law, executive order or regulation. The Grantee is responsible for compliance with all applicable laws and regulations. Nothing in this Grant shall be construed to permit any disclosure in violation of those restrictions.

# DHAPP-BAA-13-001 ATTACHMENT 4

(Excel Spreadsheet Example of a Statement of Work)

| Country* | Offerer* | Program Area Budget Code** | Funds Requested | Activities |
|---|---|---|---|---|
| | | | | Activities should attempt to answer who, what, when, where in a succinct manner to provide description of deliverables. |
| XXXXXX | XYZ | 14-HVCT | $150,000 | Purchase of 50,000 HIV rapid test kits at 3 military bases(base X, base Y and base Z) and provide infection control materials (e.g., sharps containers, biohazardous waste containers, gloves) for counseling and testing. Training of 30 military counselors as master trainers for VCT (10 per base) who will then train 300 military counselors. Desired goal of 35,000 military members tested in one year. |
| | | | | |
| XXXXXX | XYZ | 17-HVSI | $100,000 | Initial preparation and delivery of a knowledge, attitudes and behavior survey linked to biologic testing for a sample size of 400 military members. Training for 20 military individuals on information management systems for the assurance of linkages between counseling, testing and care HIV services. Monitoring and evaluation of all HIV program activities with compliance to O/GAC reporting requirements. |
| | | | | |
| XXXXXX | XYZ | 03-HVOP | $150,000 | 1) Development (Including pre-testing) and distribution of 20,000 copies of informational and educational materials on HIV prevention (e.g., booklets, flyers), 5 billboards, material for drama and small group discussions 2) Training for 20 master trainers and 200 peer educators from 5 bases (base a, base b, base x, base y, and base z) who will conduct monthly integrated HIV trainings at all bases. |
| | | | | |
| **TOTAL** | | | **$400,000** | |

* Fictitious country and offeror

** See page 6 of 18 for program area budget codes