



**Funding Opportunity Announcement (FOA)  
N00244-19-S-F001**

**“FY19 – FY20 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”**

**NOTE TO APPLICANTS: The Government seeks only applications that are relevant and responsive to the Program Description in Section 2. 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.**

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## INTRODUCTION

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in the Department of Defense Grants and Agreements (DoDGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Defense Health Agency (DHA) 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](http://www.grants.gov) for possible amendments to this FOA.

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

This FOA is intended to solicit existing partners and establish new partners in furtherance of DHAPP and partner military program goals. Interested sources should submit proposals identifying their plans and capabilities in accordance with the information in Section E, the Application and Submission information. Submissions of either concept papers or applications that do not meet the criteria specified by this FOA will not be reviewed.

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

Awards will take the form of grants or cooperative agreements. Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD's implementation of OMB circulars applicable to financial assistance. Terms and conditions of new awards made after December 26, 2014, will include revisions to reflect DoD implementation of new OMB guidance 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

All prospective grantees for this FOA, N00244-19-S-F001, are on 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 evaluate all grant proposals and making all award decisions. Contractors with 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.

## **A. OVERVIEW**

- 1. Federal Awarding Agency:** Naval Supply Systems Command (NAVSUP), Fleet Logistics Center San Diego (FLCSD)
- 2. Funding Opportunity Title:** FY19 – FY20 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. Announcement Type:** Initial Announcement
- 4. Funding Opportunity Number:** N00244-19-S-F001
- 5. Catalog of Federal Domestic Assistance (CFDA) Number:** 12.350  
Department of Defense HIV/AIDS Prevention Program
- 6. Key Date:** This FOA is a continuously open announcement and will remain open until **4:00 p.m. (PDT), 30 September 2020**, unless announced otherwise. Proposals received after this time will not be considered for award.

***This announcement replaces N00244-17-S-F001 (including all amendments)***

NOTICE TO APPLICANT: The Narrative - “Call for Concept Papers” will be in Attachment 1 to this FOA and future narrative, “Call for Concept Papers” will be issued in the form of Amendments to this FOA and will be posted to Grants.gov (<http://www.grants.gov>) throughout the FY19-FY20 for specific countries with submission dates and times. 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 awards will depend upon the availability of funds.

## **II. DETAILED INFORMATION ABOUT THE GRANT OPPORTUNITY**

### **A. PROGRAM DESCRIPTION**

#### **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.

The DoD HIV/AIDS Prevention Program (DHAPP) has successfully engaged over 80 countries in efforts to combat HIV/AIDS among its 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 in the President's Emergency Plan for AIDS Relief (PEPFAR). 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 its capabilities to combat HIV.

DHAPP continues to rely upon the vital support of various partners such as local and international non-governmental organizations (NGOs) including faith-based organizations to implement HIV prevention, care and treatment programs across the globe. A customized plan is needed to assist militaries as they implement HIV/AIDS programs capable of reaching our shared goals for HIV epidemic control.

Applicants for an award should be aware of the specific military's HIV control activities and propose a plan that builds on military's activities without duplicating efforts, creating parallel systems, or conflicting activities. DHAPP provides support for military-specific programs. Country HIV programs which fall under authority of the Office of the Global AIDS Coordinator (O/GAC) are listed at this website: <http://www.state.gov/s/gac/>. Funds administered by O/GAC require additional certifications as identified in Attachment 2.

DHAPP, based in San Diego, California, provides technical assistance, management, and administrative support to the HIV/AIDS prevention, care, and treatment for foreign militaries through support to implementing partners. DHAPP administers funding, conducts training, ensures quality and fidelity of approaches and provides technical assistance. In addition, DHAPP provides HIV program execution and monitors outcomes with staff that include active duty military, civil service, and contractor personnel.

## **2. Program Goals and Objectives:**

DHAPP's goal is to maximize program impact by focusing on the drivers of the HIV 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 its HIV/AIDS situation based on an assessment of the country's epidemic, and more specifically, in that country's military.

- Strengthen the military capacity for ownership and behavioral changes over the long term.
- Consider program design by leveraging assets with other country partners who have/had successful prevention, care, and/or treatment efforts.
- Focus on prevention, care and/or treatment impact aligned with national implementation plans.
- Implement and monitor programs to ensure accountability and sustainability.

Countries and their militaries need strong evidenced based HIV programs with measurable courses of action that demonstrate the following specific objectives. Priorities for DHAPP include the following but are subject to change based on DoD and O/GAC guidance.

- Visible support and ownership from the military sector.
- Development of plans of action and support for military policies that further epidemic control.
- Alignment with PEPFAR and national strategies and priorities.
- Testing and treatment expansion to meet 2020 goals of 90-90-90 and 2030 goals of 95-95-95 for people living with HIV. The first goal is identifying 90/95 percent of all HIV-positive individuals in the population; the second goal is linking 90/95 percent of all those identified HIV positive people to consistent antiretroviral treatment; and the last goal is reaching 90/95 percent of all those on antiretroviral treatment to attain viral suppression.
- Care and treatment plans should use the “Treat All” approach with differentiated models of care. Special attention should be given to TB and other opportunistic infections and address care for those with advanced HIV disease.
- Reduction of mother-to-child transmission of HIV.
- Combination prevention using biomedical, behavioral and structural support for sexual transmission of HIV and other sexually transmitted infections (STI). Interventions include male and female condoms, voluntary medical male circumcision (VMMC), HIV testing and counseling (HTC), diagnosis and treatment of sexually transmitted infections (STIs), antiretroviral drug (ARV)-based prevention, standalone behavioral interventions to minimize sexual risk or increase protection, supportive behavioral interventions to optimize biomedical prevention, and legal and policy reform.
- Prevention packages for specific populations including a comprehensive package for Key Populations (KP), Priority Populations, Positive Health, Dignity and Prevention (PHDP): prevention for people living with HIV, and prevention interventions for young people.
- Pre-Exposure Prophylaxis (PrEP) of HIV in specific high risk HIV-negative populations in whom annual HIV incidence is greater than 3%.
- Prevention of cervical cancer progression and mortality among HIV-positive women per PEPFAR guidance.
- Stigma and discrimination reduction associated with HIV infection.
- Monitoring should be strengthened to collect and report on PEPFAR indicators, ensure quality of service delivery using clinical and laboratory monitoring tools and to take rapid corrective action based on results.
- Promoting sustainability through capacity building of the partner military.

### 3. Additional Information:

From time to time throughout Fiscal Years 2019-2020, the DHA program office will announce opportunity notices entitled “Call for Concept Papers” soliciting country-specific proposals by providing additional specifics on the work that is needed, program area budgets and an approximation of the available funding.

These opportunity notices, “Call for Concept Papers,” will be posted to <http://www.grants.gov/> and will make reference to this FOA for submission instructions. Proposals will be evaluated with the criteria set forth in this FOA. Interested parties are urged to check (<http://www.grants.gov/>) for new “Call for Concept Papers” opportunity notices.

Proposals come from the following program areas, but should focus on the specific areas outlined in the narratives in Attachment 1. Each narrative is a stand-alone effort and should not be combined with another narrative.

All program areas in each specific narrative must be addressed in that concept paper submission.

#### **Treatment**

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

#### **Care**

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

#### **Prevention**

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

#### **Other**

Health Systems Strengthening (OHSS)  
Laboratory Infrastructure (HLAB)  
Strategic Information (HVSII)

Human subject research is not authorized using DHP funding.

Appropriate DHAPP and/or 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. DHA/DHAPP provides it without royalty, license, or other fee to recipients of DHAPP-funded grants or cooperative agreements.

## **B. FEDERAL AWARD INFORMATION**

### **1. Funding Amount and Period of Performance**

- a) Funding Amount: For each country where funding is available, Attachment 1 (narrative) will contain a description of the work that is needed, along with the program areas and an approximation of the available funding. It should be noted that while dollar amounts are listed, this should be taken as an estimate of the funding for an effort whether a single amount or range is listed. **Changes to Attachment 1 will be provided in the form of amendments to this announcement.**
- b) Period of Performance for Awards: The period of performance is generally one year (phase) from the effective date of award, not to exceed five years (phases) and is subject to availability of funding.

### **2. Range of Approval/Disapproval Time:**

- a) **Subject to the availability of funds which will be posted as an amendment, three evaluation cycles or more will be conducted during this FOA.** Subsequent rounds of evaluations are anticipated based upon funding availability. **PLEASE MONITOR [www.grants.gov](http://www.grants.gov) FOR AMENDMENTS TO THIS ANNOUNCEMENT.**
- b) Full proposals are reviewed and selected within four months of submission to the Program Office. Grants are reviewed and awarded within four months of conditional notification of full proposal by the Grants Office
- c) 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 any time based on current and future appropriations.
- d) 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.

- e) 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.

### 3. Instrument Type(s)

Awards will take the form of Grants. However, FLCSD reserves the right to select and fund award of a Cooperative Agreement if deemed to be in the best interest of the Government.

Applicants should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. The following are brief descriptions of the possible award instruments.

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

- (1) The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense's direct benefit or use.
- (2) In which substantial involvement is not expected between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.
- (3) No fee or profit is allowed.

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

Anticipated substantial involvement elements for Cooperative Agreements are listed below:

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to Host National Military priorities and guidance as well as interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;

The Recipient will work in consultation with the DHA/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 DHA and the Host National Military;

- Appropriate review and approval of subawards.

### **C. ELIGIBILITY INFORMATION**

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

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

### **D. APPLICATION AND SUBMISSION INFORMATION**

#### **1. Application and Submission Process**

This FOA competition is implemented in two stages:

First – Applicants **must** begin by submitting a concept paper; and

Second – Based on assessment of the concept paper, applicants will be invited to submit a grant application.

**NOTE TO APPLICANTS:** The Government seeks only applications that are relevant and responsive to the Funding Opportunity Program Description. Concept papers that fail to address the areas listed in the Funding Opportunity Program Description will be rejected and not considered further.

#### **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](http://www.grants.gov), specifically <http://www.grants.gov/web/grants/applicants/organization-registration.html>

Use the Grants.gov Organization Registration Checklist at:

<http://www.grants.gov/web/grants/applicants/applicant-resources.html>

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

## **REQUIRED FORMS**

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

- **SF-424, Application for Federal Assistance** - (included in the application package available on grants.gov posted with this FOA). This form must be sent as the cover page for all proposals. Complete all required fields in accordance with the "pop-up" instructions on the form and the following instructions for specific fields. Please complete the SF-424 first, as some fields on the SF-424 are used to auto-populate fields on other forms.

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

- **Budget Narrative Attachment Form** – Attach the Budget justification to this form. Provide a separate Adobe .pdf document to provide appropriate justification and/or supporting documentation for each element of cost proposed. Click "Add Attachment" to attach.

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

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

- **Project Abstract Form** – The project abstract must identify the problem and objectives, technical approaches, anticipated outcome of the effort, if successful, and impact on the DoD capabilities. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed and there is a 4,000-character limit including spaces.

Do Not include proprietary or confidential information. The project abstract must be marked by the applicant as "Approved for Public Release". Abstracts of all funded projects will be posted on the public DTIC website: <https://dodgrantawards.dtic.mil/grants>

## **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 in Section III, Attachments to this FOA.

### **SUBMISSION OF CONCEPT PAPERS:**

**Concept Papers must not be submitted through the Grants.gov.**

Concept papers must be submitted via email directly to the following email address:

[usn.nhrc.dhapp@mail.mil](mailto:usn.nhrc.dhapp@mail.mil)

### **1. CONTENT AND FORMAT OF CONCEPT PAPERS/APPLICATIONS**

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

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

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

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

Notification of formal invitation requests for full proposals is anticipated soon thereafter.

The due date for receipt of full proposals is two weeks from receipt of the request for a full proposal from the Grants Officer.

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 four months of notification.

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

## STEP ONE: CONCEPT PAPER PROCESS AND FORMAT

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

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

Eligible organizations interested in applying for an award in response to this FOA are invited to submit a program concept paper via e-mail to DHAPP Office: [usn.nhrc.dhapp@mail.mil](mailto:usn.nhrc.dhapp@mail.mil)

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

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

### Concept Paper Format

- Paper Size – 8.5 x 11 inch paper
- Font – Time New Roman, 12 point
- Margins – 1” inch
- Spacing – Single or double-spaced
- Number of Pages – No more than twelve (12) pages single-sided pages (excluding cover page, abstract, cost breakdown, Staffing Needs/Costs, and Timeline for Completion). Concept Papers exceeding the page limit may not be evaluated.

Copies – one (1) electronic copy in Adobe PDF or Word delivered via e-mail, containing all of the required sections. Electronic (e-mail) submissions must be sent to the attention of the e-mail address: [usn.nhrc.dhapp@mail.mil](mailto:usn.nhrc.dhapp@mail.mil)

- . The subject line of emails shall read “N00244-19-S-F001, CONCEPT PAPER APPLICATION, Country Name, Organization Name”

## **Concept Paper Content**

- **Cover Page** (1 page) – The Cover page must include:
  - FOA number: **N00244-19-S-F001 (CONCEPT PAPER APPLICATION)**;
  - Proposed project title;
  - Proposed length of project;
  - The applicant/organization name;
  - The applicant's administrative and technical points of contact, with telephone numbers, facsimile numbers, and e-mail addresses.
  - Signature of an Authorized Officer of the applicant institution/organization.

**Project Abstract** – Concise, single-spaced abstract, not to exceed 4,000 characters, summarizing the proposed program effort, including the name of the Offeror institution/organization, anticipated public benefit, type of substantial involvement by the Government (if cooperative agreement is proposed), objectives, assessed need, and anticipated impact and results.

The project abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as possible understandable to the technically literate lay reader. This abstract must not include any proprietary/confidential information.

- **Section I: Executive Summary** (not to exceed 1 page) – Briefly summarize the overall proposed program.
  - Strategy – Explain the specific problem to be addressed, the expected goals to be achieved, how this program supports the areas of interest in this FOA, and a short description of the strategy to be used to achieve the proposed goals.
- **Section II: Proposed Activities** (not to exceed 9 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- Describe in terms of geographic coverage, sex- and age-stratification, military and civilian percentage (if available), etc

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: Management and Qualifications, (not to exceed 1 page)**  
Provide a one-page summary of role descriptions, responsibilities and qualifications of all key personnel relevant to successful implementation of the proposed technical approach.
- **Section IV: Cost Breakdown (not to exceed 1 page)**  
Provide a one-page budget summary which includes, at a minimum the 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 programs 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 the work performed. These other programs can be funded by any entity, public or private, and do not need to be a DHA-funded program.
- **Signed Standard Form 424, 424a and 424b.** Forms can be found at [www.grants.gov](http://www.grants.gov).

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

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

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

### **Full Proposal Format**

- Paper Size – 8.5 x 11 inch paper
- Font – Times New Roman, 12 point
- Margins – 1” inch
- Spacing – Single or double-spaced
- Number of Pages – Sections I and II combined are limited to no more than 32 pages. Section III has no page limit. The cover page, table of contents and abstract are excluded from the page limitations. Proposals exceeding the page limit may not be evaluated (see note above).

### **Full Proposal Content**

- **Cover Page** - Should include the words “Technical Proposal” as well as the following:
  - (1) FOA number N00244-19-S-F001
  - (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](http://www.grants.gov).
- Signed Certifications (see Section III, Attachments).
- Project Abstract – Concise, single-spaced abstract, not to exceed 4000 characters, summarizing the proposed program effort, including the name of the Offeror institution/organization, anticipated public benefit, type of substantial involvement by the Government (if a cooperative agreement is proposed), objectives, assessed need, and anticipated impact and results.

The project abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as

possible, understandable to the technically literate lay reader. This abstract must not include any proprietary/confidential information.

- **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 DHA.
  - **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 the project, and (b) the specific objectives that are measurable and time phased, consistent with the objectives and numerical targets that described in the program narrative. See DHAPP current Priority activities in Section II. A. Program Description for reference.
  - **Statement of Work.** In an Excel spreadsheet, provide a summary of the planned activities for each program area (an example is provided in Section III, Attachments). Use the following column headings: Country, Offeror, Funds Requested, and Brief Activity Narrative.
  - **Work Plan.** Clearly detail the scope and plan of the effort. Describe the specific methods (e.g., surveys, interviews, surveillance, etc.) you will use to accomplish the proposed objectives. All anticipated work must be within the national guidelines of the host country. If the plan includes a training/education program or other intervention, please describe these in detail. Training should be aligned with national standards where possible. It is anticipated that the proposed plan will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable self-standing plan without any proprietary restrictions that can be attached to the agreement award.
  - **Deliverables.** Applicants should provide a detailed description of the results and products to be delivered. Appropriate DHAPP and/or DoD logos should be included in any material deliverables that are developed as a result of this FOA

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

- Data Management Plan (not to exceed 2 pages) Proposals must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplementary document should include:
  - a. The types of data, guidance, physical data collections, software, training materials, and other materials to be produced in the course of the project;
  - b. The standards to be used for data and metadata format and content (where existing standards are absent or deemed inadequate, this should be documented along with any proposed solutions or remedies);
  - c. Policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements; in cases where Personal Health Information is collected, identify appropriate national/international standard to be used.
  - d. Policies and provisions for re-use, re-distribution, and the production of derivatives; and
  - e. Plans for archiving data and other information products (reports), and for preservation of access to them.
  - f. A valid Data Management Plan may include only the statement that no detailed plan is needed, as long as the statement is accompanied by a clear justification.

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

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

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

Examples:

Quarter 1:

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

Quarter 2:

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

Quarter 3:

- Train 10 laboratory technicians to support VCT services.

Quarter 4:

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

- **In-Country Participation.** Describe the involvement of the host country's military and its leadership in: (a) the development of the proposal (and/or the ideas presented in the proposal), and in (b) the planned execution of the proposed program bearing in mind the long term sustainability and host country military ownership of the program.
- **Relevance of the Program.** (a) Describe the relevance of the proposed program to the needs, priorities and circumstances of the host country's military; (b) describe how the proposed program fits into the overall HIV strategy for the country and/or the country's military. If the respondent has previously performed and accomplished HIV prevention efforts involving the host country's military, it should describe its past and current efforts.

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

(a) The Management Plan will provide a clear description of how the grant or cooperative agreement will be managed, including the approach to addressing potential problems. The plan shall outline which organization/ sub-awardee will carry out the various tasks specified in the technical approach. The prime partner will be responsible for all technical activities regardless of the activities implemented by the sub-partner or other member of the team. The application must specify the composition and organizational structure of the entire project

team (including home office support and other sub-partners) and describe the role of each staff member named under key personnel, technical expertise, and estimated amount of time he or she will devote to the program. Given the limited funding of the award and the broad scope, applicants may want to propose innovative ways to reduce managerial costs of sub-partners such as sharing office space, vehicles, etc. It is expected that sub-partners will not set up separate offices and separate managerial units, but instead offer specialized technical support under the prime partner.

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

(c) The application shall provide summary role descriptions, responsibilities and qualifications of all key personnel relevant to successful implementation of the proposed technical approach.

(d) The application shall also include, in an Attachment/Annex, resumes for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Letters of commitment from all key personnel to the effect that they will be available for the period of the agreement award. Finally, a list of 3 non-personal professional references should be included for each proposed key personnel. The reference information provided should consist of the following: full name and relationship, accurate and up to date email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed.

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

Program Director: The applicant is required to appoint a Program Director. The Program Director should have demonstrated capabilities in management, institutional capacity building, high-level strategic visioning and leadership, and experience in working effectively with district, provincial and national government authorities. Prior experience in senior level management of similar programs is absolutely required. Demonstrated experience is required in coordination and collaboration with broad set of stakeholders, including multi-lateral and international donors and local and international NGOs. The

Program Director must have background and experience in more than one technical area of the program and experience or familiarity in management in an integrated, comprehensive, clinic-based program environment. Exceptional written and oral communications skills in English must be demonstrated.

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

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

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

**The Organization's Qualifications** - In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in institutional capacity building, HIV

and AIDS policy development and implementation, delivery of integrated, comprehensive district-based HIV-related services for care and treatment and collaborations with donors, host country governments, and NGOs to strengthen

health and HIV and AIDS systems. Offeror shall also describe its organizational capability in collaborating with the host country military, donors, and NGOs to strengthen health and HIV/AIDS systems, and to improve the quality and use of data for decision making and advance organizational capacity building. The Applicant should also describe the organizational knowledge, capability, and experience of the other proposed team members (sub-contractors and/or grantees) in successfully managing similar programs.

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

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

- Title of award or project title;
- Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- Percentage effort devoted to each project;
- Technical contact (name, address, phone, e-mail);
- Administrative/Business contact (name, address, phone, e-mail);
- Period of performance;
- The proposed project and all other projects or activities requiring a portion of time of the proposed Technical Program Manager and other proposed senior personnel must be included, even if they receive no salary support from the project(s);  
The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of the source of support;
- Commitment proposed Technical Program Manager in terms of person-months per year for each year.

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

- **Section III: Cost Application Format**

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

A projected budget shall be provided that includes cost breakdowns by category and must provide line item detail which explain the basis for how the individual line item costs were derived. While a specific format is not mandated, a sufficiently detailed projected budget is required. Executive level workshops are not desired, but will be reviewed on a case by case basis. If your budget deviates from these budget guidelines, provide sufficient justification.

The Applicant must use the Grants.gov SF-424 budget forms from the application package template associated with this FOA on the Grants.gov website located at <http://www.grants.gov/>. If phases are proposed, the cost proposal must provide the pricing information for the phase periods. Failure to include the proposed costs for the phase periods will result in the phases not being included in the award. Assume that performance will start no earlier than four (4) months after the cost proposal submittal date.

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

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

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

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

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

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

## **REQUIRED BUDGET DETAILS SHALL INCLUDE THE FOLLOWING:**

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

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

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

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

If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

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

- (1) All individual cost elements included in the forecast rate(s);
- (2) Bases used to prorate indirect expenses to cost pools, if any;
- (3) How the rate(s) was calculated;
- (4) Distribution basis of the developed rate(s);

- (5) Bases on which the overhead rate is calculated, such as “salaries and wages” or “total costs”, and
- (6) The period of the Applicant’s fiscal year.

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

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

- (1) Vendor Quote: Show name of vendor, number of quotes received and justification, if intended award is to other than lowest bidder.
- (2) Historical Cost: Identify vendor, date of purchase, and whether or not cost represents lowest bid. Include reason(s) for not soliciting current quotes.
- (3) Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes. If applicable, the following additional information shall be disclosed in the Applicants’ cost proposal:
  - (4) Special test equipment to be fabricated by the awardee for specific program purposes and its cost.
  - (5) Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs, listed separately.
  - (6) Existing equipment to be modified to meet specific research/program requirements, including modification costs. Do not include equipment the organization will purchase with its funds if the equipment will be capitalized for Federal income tax purposes. Proposed permanent equipment purchases during the final year of an award are limited and shall be fully justified.

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

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

**Materials, Supplies, and Consumables**: 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.

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

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

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

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

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

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

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

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

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

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

**3. Unique Entity Identifier and System for Award Management (SAM)** - All applicants submitting proposals or applications must:

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

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

b) Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

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

## **E. APPLICATION REVIEW INFORMATION**

### **1. Recipient Qualifications**

A. The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, a Grants Officer will award grants or cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

(1) Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement;

(2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);

(3) Have a satisfactory record of integrity and business ethics; and

(4) Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

B. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants and cooperative agreements as follows:

If the total Federal share will be greater than the simplified acquisition threshold on and Federal award under a notice of funding opportunity (see 2 CFR 200.88 Simplified Acquisition Threshold):

(1) The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

(2) An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

(3) The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by the applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

## **2. 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 II. A.. Program Description)
- 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.

### **3. Review and Selection Process**

Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DHA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

The ultimate recommendation for award of proposals is made by DHA's program officer or other technical experts. Recommended proposals will then be forwarded to NAVSUP FLC San Diego Contracts and Grant Awards office. Any notification received from NAVSUP FLC San Diego indicates the Applicant's proposal has been recommended does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria stated above and has been sent to the Grants Department to conduct cost analysis, determine the Applicant's responsibility, to confirm whether funds are available, and to take other relevant steps necessary prior to making the award.

### **4. Options**

The Government will evaluate options/phases for award purposes by adding the total cost for all options/phases to the total cost for the basic requirement. Evaluation of options/phases will not obligate the Government to exercise the options during grant performance.

### **5. Evaluation Panel**

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

### **6. Evaluation Process.**

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

1.1. Step 1. Full proposals will be reviewed by a primary reviewer (generally a member of DHAPP or a technical expert). Where available an appropriate point of contact at the cognizant US Embassy (for example: the in country DHAPP Program Manager, Defense

Attaché Office, Office of Defense Cooperation, or Military Liaison Office), and a representative from the applicable Combatant Command (COCOM) will be given the opportunity to review the proposal. The Embassy and COCOM reviewers will review the proposal's merit and confirm that the proposal(s) meets the applicable theatre security cooperation guidance and other relevant US DoD policies. An additional reviewer may be asked to review the proposal. Proposals will be reviewed by a minimum of two such experts (DHAPP representative, COCOM representative, embassy representative, or other reviewers) prior to review panel submittal.

1.2. 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.

1.3. 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.

## 7. 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

## **F. FEDERAL AWARD ADMINISTRATION INFORMATION**

### **1. Federal Award Notices:**

Applicants whose proposals are recommended for award may be contacted by a Contract or Grant specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award.

The notification e-mail must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting Officer or Grants Officer, as applicable, signs the award document.

The award document signed by the Contracting Officer or Grants Officer is the official and authorizing award instrument.

## 2. Administrative Policy Requirements:

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

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

Link to 2 CFR 200:

[http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

Link to 2 CFR part 1103:

<http://www.ecfr.gov/cgi-bin/text-idx?SID=6b9a1e28b684113253f576ed5b0a3f64&mc=true&node=pt2.1.1103&rgn=div5>

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

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

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

### 3. Reporting:

If the Federal share of any Federal award may include more than \$500,000 over the period of performance, the post award reporting requirements, Award Term and Condition for Recipient Integrity and Performance Matters (2 U.S.C. 200 Appendix XII), is applicable as follows:

#### a. Reporting of Matters Related to Recipient Integrity and Performance

(1) General Reporting Requirement. If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

(2) Proceedings About Which You Must Report. Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five-year period; and
- c. Is one of the following:
  - (i) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - (ii) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - (iii) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or

(iv) Any other criminal, civil, or administrative proceeding if:

(a) It could have led to an outcome described in paragraph 2.c.(i), (ii), or (b) of this award term and condition; (c) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and (d) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

(3) Reporting Procedures. Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

(4) Reporting Frequency. During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

(5) Definitions. For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes:

- (i) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
- (ii) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

## **General Information on Program Deliverables and Reporting -**

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

Compliance with reporting requirements may impact funding. Recommend frequent and continued coordination with the designated DHA/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/DHA. 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 DHA.

## 1.2 Payment Documentation

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

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

## 1.3 Audit Reports

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

## 2) INTERIM PROGRESS: INDICATOR REPORT

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

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

DHAPP grantees are required to:

- If applicable, submit routine program indicator targets and results (e.g. Monitoring, Evaluation and Reporting (MER) Indicators) that reflect expected and achieved results through activities supported by DHAPP awards.

- Military program indicator data at the Implementing Mechanism level (not at a military site-level) are to be submitted on a quarterly, semi-annual and annual basis into the Office of the Global AIDS Coordinator (OGAC) hosted system Data for Accountability Transparency and Impact Monitoring (DATIM), within the deadlines established by OGAC. **Instructions will be provided after award.** Military program indicator data at the site-level must also be submitted to DHAPP, using the required DHAPP templates, within the deadlines established by DHAPP. DHAPP will provide all orientation and training related to the reporting of site-level data.
- Implementing Partners are responsible for ensuring the quality of data from the point of data collection through report submission, and should make every attempt to either fix or document and communicate to DHAPP data quality issues.
- Implementing Partners are responsible for following the standards defined in the Site Improvement through Monitoring System (SIMS) and are required to participate in program quality assurance and improvement activities, per guidance provided by OGAC.

### 3) FINAL TECHNICAL REPORT

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

### 4) PROPERTY REPORT

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

## 5. **Payment**

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

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

## **G. FEDERAL AWARDING AGENCY CONTACTS**

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

N00244-19-S-F001 (FY19 – FY20 DHAPP: Military Specific HIV/AIDS Prevention, Care, and Treatment Program for Non-PEPFAR Funded Countries)

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

Ms. Janet Norton  
Contract and Grant Officer  
NAVSUP Fleet Logistics Center San Diego  
E-mail(s): [Janet.Norton@navy.mil](mailto:Janet.Norton@navy.mil) and [flscsd.grants@navy.mil](mailto:flscsd.grants@navy.mil)

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

Dr. Braden Hale, MD, MPH  
Director, DHAPP Program  
Defense Health Agency  
Department of Defense HIV/AIDS Prevention Program  
140 Sylvester Road, Bldg 304  
San Diego, CA 92106-3521  
E-mail: [usn.nhrc.dhapp@mail.mil](mailto:usn.nhrc.dhapp@mail.mil)

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

Grants.gov  
Phone: 1-800-518-4726  
E-mail: [support@grants.gov](mailto:support@grants.gov)

### **III. ATTACHMENTS**

1. Narrative
2. Certifications
3. Statement of Work (SOW) example



## ATTACHMENT 1 NARRATIVE

### FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) Number N00244-19-S-F001

**“FY19 – FY20 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”**

**DHAPP is accepting “Concept Papers” for Chad and Niger as described below through 18 January 2019.**

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

E-mail address for submission of Concept Papers: [usn.nhrc.dhapp@mail.mil](mailto:usn.nhrc.dhapp@mail.mil)

The full solicitation is available at: <http://www.grants.gov/>

Eligible Applicants are requested to submit **Concept Papers** following the guidelines and format provided in the N00244-19-S-F001, Section II. D.

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

## **Chad: DHAPP-- Armees Nationale Tchadienne (ANT) Partnership for Sustainable HIV Epidemic Control**

### **Introduction**

The HIV/AIDS epidemic has been devastating and negatively affected many militaries and other uniformed organizations worldwide by reducing military readiness, limiting deployments, causing physical and emotional decline in infected individuals and their families, posing risks to military personnel and their extended communities, and impeding peacekeeping activities. As HIV management improves, many of these impacts are disappearing, however, militaries now need to sustain life-long HIV treatment for their HIV-infected beneficiaries in addition to other long-term chronic disease management issues.

The US Government has a long history of international collaboration and partnerships in the fight against HIV/AIDS, providing funding, technical assistance, and program support. These collaborations are all contributing to HIV epidemic control.

Over the years, the United States Department of Defense (DoD) HIV/AIDS Prevention Program (DHAPP) has successfully engaged over 80 countries in an effort to control the HIV epidemic among their respective military services. DHAPP is the DoD implementing agency collaborating with the US Department of State, the Health Resources and Services Administration, Peace Corps, US Agency for International Development (USAID), and the Centers for Disease Control and Prevention (CDC), in the US President's Emergency Plan for AIDS Relief (PEPFAR). DHAPP receives funding for its programs from two sources: a congressional plus-up to the Defense Health Program (DHP) and funding transfers from the Department of State for PEPFAR. Working closely with DoD, U.S. Unified Combatant Commanders, Joint United Nations Programme on HIV/AIDS (UNAIDS), university collaborators, and other nongovernmental organizations (NGOs), DHAPP's mission is to build capable military partners through military-specific, culturally focused, HIV/AIDS cooperation and assistance.

In the Defense Security Cooperation Agency guidance, the US Secretary of Defense has identified HIV/AIDS in foreign militaries as a national security issue. Pursuing HIV/AIDS activities with foreign militaries is clearly tied to security interests, regional stability, humanitarian concerns, counterterrorism, and peacekeeping efforts due to the impact of HIV/AIDS as a destabilizing factor in developing societies. DHAPP employs an integrated bilateral and regional strategy for HIV/AIDS cooperation and security assistance. DHAPP implements bilateral and regional strategies in coordination with respective Combatant Commands (COCOMs) and Country Support Teams to offer military-to-military HIV/AIDS program assistance using country priorities set by the US Under Secretary of Defense for Policy and by the Office of the Global AIDS Coordinator. DHAPP provides strategic information and supports defense forces in HIV prevention, care, and treatment for HIV-infected individuals and their families.

On October 1, 2013, DoD established the Defense Health Agency (DHA) as part of the U.S. Military Health System governance reform. DHA is a joint, integrated Combat Support Agency that enables the Army, Navy, and Air Force medical services to provide a medically ready force and ready medical force to COCOMs in both peacetime and wartime. In July 2014, the Deputy Secretary of Defense approved the realignment of medical Executive Agent organizations to DHA, including DHAPP. The transition to DHA from the Secretary of the Navy was completed on August 20, 2017. DHAPP is now a division under the Research and Development (J-9) Directorate and continues to be cornerstone of the global health engagement portfolio delivering solutions to COCOMs. The DHAPP headquarters office remains at Naval Base Point Loma in San Diego, California.

In 2014, PEPFAR moved from an “emergency” response to a strategy focused on sustainable control of the HIV epidemic. In doing so, PEPFAR adopted the United Nations Programme on HIV/AIDS (UNAIDS) global 90-90-90 goals that state by 2020: 90% of people with HIV are diagnosed, 90% of them are on ART and 90% of them are virally suppressed. DHAPP shifted with PEPFAR in how Monitoring, Evaluation, and Reporting (MER) indicators are collected and reported to efficiently use data to drive decision-making and focus HIV programming in the right geographic areas. DHAPP collects MER indicator results on a quarterly and semi-annual basis, and data is reported at the site level. This data allows DHAPP to understand the gaps in programming and needs for shifts to reach our shared goals. Due to security sensitivities regarding military site locations and troop movement, all site-level data is analyzed at DHAPP headquarters and summary data is collected by the Office of the Global AIDS Coordinator so each USG country team can review military program results at the national level.

In fiscal year (FY) 2017, DHAPP supported 56 national HIV programs, mainly through direct military-to-military cooperation in addition to support from contracting external organizations and academic institutions to assist with specific aspects of proposed programs. Partners in FY17 included 54 NGOs and universities working in 55 countries.

## Budget

	Phase 1	Phase 2	Phase 3	Phase 4	Total
<b>Care &amp; Treatment Total</b>	<b>\$203,000</b>	<b>\$203,000</b>	<b>\$203,000</b>	<b>\$203,000</b>	<b>\$203,000</b>
HVCT- HIV Testing Services	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
HTXS- Adult Treatment	\$128,000	\$128,000	\$128,000	\$128,000	\$128,000
<b>Prevention Total</b>	<b>\$53,000</b>	<b>\$53,000</b>	<b>\$53,000</b>	<b>\$53,000</b>	<b>\$53,000</b>
HVOP – Other Sexual Prevention	\$53,000	\$53,000	\$53,000	\$53,000	\$53,000
<b>Health Systems Strengthening Total</b>	<b>\$154,000</b>	<b>\$154,000</b>	<b>\$154,000</b>	<b>\$154,000</b>	<b>\$154,000</b>
HLAB- Laboratory Infrastructure	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000
HVSI – Strategic Information	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000
<b>TOTAL</b>	<b>\$410,000</b>	<b>\$410,000</b>	<b>\$410,000</b>	<b>\$410,000</b>	<b>\$410,000</b>

## Approaches to Reaching Sustainable Epidemic Control

Proposals are requested to support Chad to reach sustainable control of the HIV/AIDS epidemic through the pillars of transparency, accountability, and impact.

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

The partner must work in complete coordination with the partner militaries' HIV prevention and health services, as well as the DHAPP/DoD Program Manager based at the US Embassies in these countries, the DOD adult and pediatric treatment program manager based at the Military Health Department, other DHAPP supported implementing partners

working in these countries, other bilateral and multilateral agencies with similar objectives and the DHAPP Headquarters Team. The Grantee is the Implementing Partner and will be referred to as IP in this document.

## Targets

Progress towards epidemic control will be successfully measured, in part, through an effective strategic information framework that not only monitors program outputs, but also key outcomes and programmatic impact.

Collection and use of disaggregated data that characterizes the populations served in the lowest geographic areas where HIV services are being provided is critical in understanding current program performance and planning for future performance. Consequently, the Monitoring, Evaluation, and Reporting (MER) indicators continue to evolve in order to reflect the progression of U.S. government (USG) support and global HIV response guidelines. Measuring the impact of support at national and regional above-site levels down to direct services at the site-level is paramount to DHAPP's program implementation and monitoring approach.

MER indicators are not an exhaustive list of all metrics that should be monitored by DHAPP-supported programs. These programs should continually monitor and assess any acute programmatic issues and collect additional data to inform program improvement.

The indicators listed below strives to drive program monitoring to a more patient-centered approach. Per the 2017 WHO Consolidated Guidelines on Person-Centred HIV Patient Monitoring and Case Surveillance, person-centered monitoring refers to a shift from monitoring measuring services (e.g., the number of individuals tested or people on treatment) to monitoring people at the center of their access to linked HIV and health services. In essence, this marks a shift to better support the clients accessing services by focusing more on their individual health outcomes.

The proposal will address approaches to reaching the following targets for military and civilian populations.

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

The partner must work in complete coordination with the ANT's HIV prevention and health services, as well as the DHAPP/DoD Program Manager based at the US Embassy in Chad, the DOD adult and pediatric treatment program manager based at the Military Health Department, and the DHAPP Headquarters Team. The Grantee is the Implementing Partner and will be referred to as IP in this document.

Proposals are requested to support Chad to reduce the number of new HIV infections and other sexually transmitted diseases and the number of death due to AIDS among members of the Armees Nationale Tchadienne (ANT), their families, and the civilian communities served by the ANT and help the military reach the UNAIDS 90-90-90 goals.

The TBD partner will work directly with the ANT in the military HIV Prevention, Care and Treatment program and increase the ANT's capacity to deliver comprehensive and quality HIV prevention, treatment and viral load suppression in a sustainable and cost effective way. The strategic objectives of this program are as follows: 1) Focus/target/customize early prevention programming and testing to highest risk groups using combined data sources;

2) Drastically increase early stage HIV diagnosis through optimized case finding, high risk assessment and index testing with fidelity; 3) Accelerate access to ART through same day ART initiation and improved fidelity of differentiated service models; 4) Enhance capacity of sites to deliver tailored, high-quality HIV services at a high standard of care for priority sub- populations; 5) Aggressively reduce HIV disease-related stigma and discrimination as well as stigma and discrimination against Key Populations and PLHIV that impede uptake of services across the continuum; 6) Enhance national capacity for governance for sustained leadership and ownership and effective health policy adoption; 6) Bolster health systems strengthening for quality control, monitoring and real-time response. To achieve these objectives Department of Defense HIV/AIDS Prevention Program (DHAPP) programming to support the ANT will focus on the following technical areas: 1) HIV Prevention; 2) HIV Testing Services (HTS); 3) Prevention of Mother-to-Child Transmission (PMTCT); 4) HIV/AIDS Care and Treatment; 5) Clinical Laboratory Support; and 6) HIV Clinical Monitoring Systems; and 7) Military Health System Strengthening.

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

## Prevention

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Technical Area Targets, Year 1			
Indicator	Label	Military Only	Civilian
PP_PREV	Number of priority populations (PP) reached with the standardized, evidence-based intervention(s) required that are designed to promote the adoption of HIV prevention behaviors and service uptake	8,000	

The IP will support both the ANT and also the national civilian HIV/AIDS Prevention Program. The IP will ensure that the partner military is providing standardized, evidence-based interventions that are designed to promote the adoption of HIV prevention behaviors and service uptake for all military and other uniformed services as well as other priority populations served by the military health services. These priority populations (PP) could include adolescent girls and young women, clients of sex workers, displaced persons, fishing communities, mobile populations, and non-injecting drug users.

The IP will ensure that the required interventions for adults and youth include:

- Promotion of relevant adult and youth friendly prevention and clinical services and demand creation to increase awareness, acceptability, and uptake of these services.
- Information, education, and skills development to: reduce HIV risk and vulnerability; correctly identify HIV prevention methods; adopt and sustain positive behavior change; and promote gender equity and supportive norms and stigma reduction.
- Referral to or provision of HIV testing; facilitated linkage to care and prevention services; and/or support services to promote use of, retention in, and adherence to care.
- Condom and lubricant (where feasible) promotion, skills building, and facilitated access to condoms and lubricant (where feasible) through direct provision or linkages to social marketing and/or other service outlets.
- Programs targeting adults to raise awareness of HIV risks for young people, promote positive parenting and mentoring practices, and effective adult-child communication about sexuality and sexual risk reduction.

## Testing

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Technical Area Targets, Year 1			
Indicator	Label	Military Only	Civilian
HTS_INDEX	Number of individuals who were identified and tested using Index testing services and received their results Number of individuals who received HIV Testing Services (HTS) and received their test results	2,867	1,142
HTS_TST			3,176

Finding the remaining persons who are living with HIV infection is the first priority for reaching HIV epidemic control. Current epidemiology shows us that most of those who do not yet know about their infection are men. The ANT HIV/AIDS program is strategically placed to reach men; therefore, the IP will work closely with the ANT on HIV Testing Services (HTS), particularly index testing and self-testing, in an effort to achieve the “first 90” for military personnel: 90% of all ANT personnel living with HIV know their status.

HTS will focus primarily on index testing to provide high yield testing to those most at risk for infection. The local epidemiology and situational analysis should guide the use of other testing methodologies to identify those who are living with HIV.

Provider-Initiated Testing and Counseling (PITC) will continue in the fixed sites for both the military and civilian cohorts. PITC should focus in clinical areas that have shown a high yield such as TB and STI clinics.

Ensuring that any positives identified are linked to HIV care and treatment is essential to the success of the ANT program. The IP should work to achieve 100% linkage of HIV+ individuals identified. The IP will monitor HIV testing yield; modifying strategies or locations that are not identifying and/or linking significant numbers of HIV positive persons to HIV care and treatment.

The IP will be responsible for:

- HTS to military bases and facilities
  - Diagnosing 457 PLHIV with 90% of those diagnosed linked to HIV care and treatment services

- Index-case testing for all sexual partners of HIV-infected military personnel and civilians
- Index-case testing for all children under 10 years of age with HIV-infected mothers.
- Index clients should also be offered self-testing for partners if they do not volunteer for partner notification.
- HTS to military bases and facilities, ensuring at least 90% of those diagnosed are linked to HIV treatment services
- Quality improvement and quality assurance for all ANT HTS including continuous training and mentoring and supervision visits, at least quarterly
- Conducting proficiency testing for all HTS sites and individuals
- Tracking PLHIV from HTS to clinical care and treatment services.
- Monitoring HIV testing yield; modifying strategies or locations that are not identifying and/or linking significant numbers of HIV positive persons to HIV care and treatment

## Treatment

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<b>Technical Area Targets, Year 1</b>			
<b>Indicator</b>	<b>Label</b>	<b>Military Only</b>	<b>Civilian</b>
TX_CURR	Number of adults and children currently receiving antiretroviral therapy (ART)	322	994
TX_NEW	Number of adults and children newly enrolled on antiretroviral therapy (ART)	97	148

DHAPP will continue to reduce its overall level of support for CD4 testing to prioritize access to viral load testing. CD4 count is not needed to determine eligibility for ART (and continued CD4 testing may perpetuate the belief that CD4 count thresholds are criteria for initiating ART) and, as reflected in current WHO guidelines, CD4 is inferior to viral load for treatment monitoring.

- DHAPP's priority is access to critical HIV treatment monitoring which is viral load.
- DHAPP will support host country governments to maintain limited CD4 testing capacity at referral facilities for management of patients with complicated or advanced disease or treatment failure.
- Routine baseline CD4 testing at start of ART is not a priority for DHAPP. However, DHAPP will consider proposals to include support for limited CD4 testing outside of referral facilities, if they can provide evidence from PHIA or other reliable data sources that newly diagnosed PLHIV continue to have rates of CD4 < 100 substantially greater than 10%.

Dolutegravir (DTG)-containing regimens are the preferred first-line antiretroviral therapies (ART) due to superior efficacy, tolerability and higher threshold for resistance compared to efavirenz (EFV)-containing regimens. The fixed dose combination (FDC) of tenofovir disoproxil fumarate/lamivudine/dolutegravir (TLD) is currently priced as the least expensive FDC, and it is expected that prices will go down as generic manufacturing scales up. For these reasons, DHAPP now recommends TLD as the preferred option for ART, and further recommends that DHAPP-supported programs switch over to TLD as soon as possible in a coordinated fashion as supply becomes available.

Programs should carefully assess the risk and benefit of TLD in child-bearing age women. See published updated from PEPFAR to further understand the high benefits in the face of a potential NTD signal.

Children (< 30kg) are not expected to be included in the initial roll-out of TLD. Development of pediatric DTG formulations and evaluation of appropriate DTG dosing in infants and children are underway.

TB preventive therapy (TPT) must be scaled up for all PLHIVs as an integral part of the clinical care package. DHAPP-supported care and treatment programs need to catalyze the introduction and scale-up of TPT. IPs are expected to increase the use of TB diagnostic testing within DHAPP-supported HIV care and treatment facilities and promote the use of TPT as a routine part of HIV care. As a consequence, programs should have clear policies and/or guidelines for the use of TPT, and should plan for programmatic and clinical trainings, procurement and supply management, adequate diagnostic capacity (including specimen transportation) and development of appropriate data collection systems. In Global Fund high-impact countries implementing joint TB/HIV grants, IPs should also seek opportunities to support effective joint program implementation. Additionally, IPs should implement TB infection prevention and control activities to minimize the risk of TB transmission and provide safe health seeking environment. This is critical in DHAPP-supported settings where clients at high risk for TB and HIV often co-mingle. It also puts the health care workers at the highest risk of contracting TB disease. Activities aimed at preventing transmission at facility-level include administrative and environmental controls, and the availability and use of personal protective equipment. Infection prevention and control basics will also be important for ART adherence clubs and other community clinical work.

## Viral Suppression

Technical Area Targets, Year 1			
Indicator	Label	Military Only	Civilian
TX_PVLS	Percentage of ART patients with a suppressed viral load (VL) result (<1000 copies/ml) documented in the medical or laboratory records/laboratory information systems (LIS) within the past 12 months	90	90

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

The ANT currently provides viral load testing from four military laboratories throughout the country. The IP will work directly with the ANT at the four fixed sites to achieve the military viral load testing targets.

The IP will be responsible for:

Support and participate in viral load testing per current WHO and national guidelines, with reporting on TX\_PVLS.

## Health Systems

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<b>Technical Area Targets, Year 1</b>			
<b>Indicator</b>	<b>Label</b>	<b>Military Only</b>	<b>Civilian</b>
LAB_PTCQI	Number of PEPFAR-supported laboratory-based testing and/or Point-of-Care Testing (POCT) sites engaged in continuous quality Improvement (CQI) and proficiency testing (PT) activities.	3	

The IP will be responsible for:

- Ensure that inventory control, forecasting, and procurement of laboratory reagents is complete so that laboratory services are uninterrupted.
- Ensure the procurement of appropriate service maintenance contracts, calibration of equipment.
- Procurement of supplies, support, and equipment should use government and other donor sources when possible (Ministry of Health, Ministry of Defense, Global Fund, etc).
- Provide appropriate training of ANT laboratory staff to support quality improvement and delivery of DHAPP-approved HIV/AIDS services.
- Ensure quality improvement of laboratories using Site Improvement through Monitoring System (SIMS) Assessment Tool, Strengthening Laboratory Management Toward Accreditation (SLMTA) and Stepwise Laboratory Quality Improvement Process Towards Accreditation (SLIPTA) to reach full ISO 15189 accreditation of main laboratories and quality improvement of all satellite laboratories and HIV test sites. All HIV testing sites must participate in and maintain standards for quality improvement as specified by the national authorities and SIMS standards which include regular proficiency testing and remediation.

- Monitor laboratory quality and adherence to quality systems, method validation, provision of proficiency testing panels for rapid HIV testing, viral load, TB, STI and other tests critical to HIV epidemic control.
- Conduct routine visits to laboratories to assess achievements, review/evaluate activities (including using Site Improvement through Monitoring System (SIMS)), and provide recommendations with the development of improvement plans to resolve any identified problems.
- Link ANT military laboratory services to other laboratory resources at the district, provincial, and national levels.
- Participate in a virtual community for knowledge sharing between DHAPP HQ and field staff, priority country militaries. The IP will be notified on how to join this virtual community.

### **Site Improvement through Monitoring System (SIMS)**

The purpose of SIMS is to provide a standardized approach and set of tools for monitoring program quality at DHAPP-supported sites and entities that guide and support service delivery. SIMS assessment results are used to strengthen alignment with global and national standards and facilitate program improvement as a component of an overall quality management strategy. SIMS is also used to identify performance issues that may impact patient outcomes or the integrity of reporting for MER targets or disaggregates. Low final scores (reds and yellows) from these core essential elements (CEEs) highlight potential issues with service delivery, site performance or oversight, and/or documentation of patient results. Site-level triangulation of MER and SIMS data can be used to contextualize performance and could be useful to determine if performance challenges at a site are due to issues related to the underlying quality of service provision.

Site Improvement through Monitoring System (SIMS) aims to: (1) facilitate improvement in the quality of DHAPP-supported services and technical assistance, (2) ensure accountability of U.S. government investments, and (3) maximize impact on the HIV epidemic.

SIMS assessment results confirm compliance to minimum quality assurance standards and identify areas where improvements in DHAPP-supported programs can be made.

Programs should conduct SIMS assessments in accordance with DHAPP guidance and implementing partners are responsible for taking corrective action for items within the IP SOW and per discussion with DHAPP USG staff.

## **Data Monitoring**

Successful tracking of patient level data is critical to the success of the partner military HIV program's ability to monitor progress towards epidemic control. The Grantee will work with the respective partner militaries to support the collection of patient-level data, the clinical and programmatic use of data, and the reporting of site-level data to DHAPP HQ and the partner military leadership.

The IP will be responsible for:

- Staffing support and mentoring of existing partner military staff for data entry
- Ensuring confidentiality and security of data, in line with MOD, MOH, and national guidelines
- Timely, accurate reporting of all indicators required by the partner military and DHAPP.
- Securing all patient-level and site-level data from dissemination outside of the partner military and DHAPP without prior approval from the partner military.
- Support for data entry, cleaning, reporting, and use.

## **Data Quality**

Measuring the success of HIV/AIDS initiatives requires strong monitoring and evaluation (M&E) systems that produce high quality data. Efforts to ensure data quality, therefore, are not singular events occurring randomly. Rather, these processes need to become institutionalized as part routine data management processes. Once achieved, data quality helps to ensure that limited resources are used effectively, progress toward established goals are accurately monitored, and that decisions are based on strong evidence. Attention to data quality ensures that target-setting and results reporting are informed by valid and sensitive information, and that all partners are thinking about and collecting and organizing this information in the same manner. In this way, attention to data quality leads to improved program performance and to more efficient resource management.

Data quality has always been a focus of global HIV monitoring and reporting efforts. Specifically, all countries conducting programming supported by DHAPP are expected to have a data quality strategy in place. For example, data quality assessments should be conducted routinely and action should be taken as a result of these DQAs. If errors are identified in data, these should be remediated at the point of service delivery as well as in the DHAPP and host-country reporting systems as soon as possible. Standard operating procedures for routine data quality review should also be in place. Data should be routinely reviewed for errors before submission to ensure that the data passes the data quality checks outlined within the guidance and the Data Review Tool available in DATIM.

## **Work Plans**

The Grantee must submit annual, programmatic and financial, work plans to the DHAPP Program Manager and DHAPP HQ (budget breakdown per activity and for program management is required). Work plans should include an activities implementation timeline as well as monitoring and evaluation timeline.

## **Reporting**

- Quarterly Fiscal Reports: The grantee must submit quarterly programmatic and financial reports to DHAPP in order to monitor expenditures according to the program budget codes. The report template will be provided by DHAPP. Submit data within 30 calendar days following each reporting period (3/31, 6/30, 9/30, and 12/31).
- Interim Progress/Monitoring, Evaluation, and Reporting (MER) Report: This report shall summarize progress in relation to the approved work plan as well as monitor grant deliverables. The Grantee shall submit quarterly indicator reports in accordance with the format provided by the Program Office within 45 calendar days following the end of the reporting period: 12/31, 3/31, 6/30 and 9/30. The Grantee shall provide reports in accordance with the template provided by DHAPP
- Reports will follow DHAPP Headquarters and Country Team Templates

## **Niger: DHAPP— Forces des Armées Nationale Nigerienne (FAN) Partnership for Sustainable HIV Epidemic Control**

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### **Introduction**

The HIV/AIDS epidemic has been devastating and negatively affected many militaries and other uniformed organizations worldwide by reducing military readiness, limiting deployments, causing physical and emotional decline in infected individuals and their families, posing risks to military personnel and their extended communities, and impeding peacekeeping activities. As HIV management improves, many of these impacts are disappearing, however, militaries now need to sustain life-long HIV treatment for their HIV-infected beneficiaries in addition to other long-term chronic disease management issues.

The US Government has a long history of international collaboration and partnerships in the fight against HIV/AIDS, providing funding, technical assistance, and program support. These collaborations are all contributing to HIV epidemic control.

Over the years, the United States Department of Defense (DoD) HIV/AIDS Prevention Program (DHAPP) has successfully engaged over 80 countries in an effort to control the HIV epidemic among their respective military services. DHAPP is the DoD implementing agency collaborating with the US Department of State, the Health Resources and Services Administration, Peace Corps, US Agency for International Development (USAID), and the Centers for Disease Control and Prevention (CDC), in the US President's Emergency Plan for AIDS Relief (PEPFAR). DHAPP receives funding for its programs from two sources: a congressional plus-up to the Defense Health Program (DHP) and funding transfers from the Department of State for PEPFAR. Working closely with DoD, U.S. Unified Combatant Commanders, Joint United Nations Programme on HIV/AIDS (UNAIDS), university collaborators, and other nongovernmental organizations (NGOs), DHAPP's mission is to build capable military partners through military-specific, culturally focused, HIV/AIDS cooperation and assistance.

In the Defense Security Cooperation Agency guidance, the US Secretary of Defense has identified HIV/AIDS in foreign militaries as a national security issue. Pursuing HIV/AIDS activities with foreign militaries is clearly tied to security interests, regional stability, humanitarian concerns, counterterrorism, and peacekeeping efforts due to the impact of HIV/AIDS as a destabilizing factor in developing societies. DHAPP employs an integrated bilateral and regional strategy for HIV/AIDS cooperation and security assistance. DHAPP implements bilateral and regional strategies in coordination with respective Combatant Commands (COCOMs) and Country Support Teams to offer military-to-military HIV/AIDS

program assistance using country priorities set by the US Under Secretary of Defense for Policy and by the Office of the Global AIDS Coordinator. DHAPP provides strategic information and supports defense forces in HIV prevention, care, and treatment for HIV-infected individuals and their families.

On October 1, 2013, DoD established the Defense Health Agency (DHA) as part of the U.S. Military Health System governance reform. DHA is a joint, integrated Combat Support Agency that enables the Army, Navy, and Air Force medical services to provide a medically ready force and ready medical force to COCOMs in both peacetime and wartime. In July 2014, the Deputy Secretary of Defense approved the realignment of medical Executive Agent organizations to DHA, including DHAPP. The transition to DHA from the Secretary of the Navy was completed on August 20, 2017. DHAPP is now a division under the Research and Development (J-9) Directorate and continues to be cornerstone of the global health engagement portfolio delivering solutions to COCOMs. The DHAPP headquarters office remains at Naval Base Point Loma in San Diego, California.

In 2014, PEPFAR moved from an “emergency” response to a strategy focused on sustainable control of the HIV epidemic. In doing so, PEPFAR adopted the United Nations Programme on HIV/AIDS (UNAIDS) global 90-90-90 goals that state by 2020: 90% of people with HIV are diagnosed, 90% of them are on ART and 90% of them are virally suppressed. DHAPP shifted with PEPFAR in how Monitoring, Evaluation, and Reporting (MER) indicators are collected and reported to efficiently use data to drive decision-making and focus HIV programming in the right geographic areas. DHAPP collects MER indicator results on a quarterly and semi-annual basis, and data is reported at the site level. This data allows DHAPP to understand the gaps in programming and needs for shifts to reach our shared goals. Due to security sensitivities regarding military site locations and troop movement, all site-level data is analyzed at DHAPP headquarters and summary data is collected by the Office of the Global AIDS Coordinator so each USG country team can review military program results at the national level.

In fiscal year (FY) 2017, DHAPP supported 56 national HIV programs, mainly through direct military-to-military cooperation in addition to support from contracting external organizations and academic institutions to assist with specific aspects of proposed programs. Partners in FY17 included 54 NGOs and universities working in 55 countries.

## Budget

	Phase 1	Phase 2	Phase 3	Phase 4	Total
<b>Care &amp; Treatment Total</b>	<b>\$230,000</b>	<b>\$230,000</b>	<b>\$230,000</b>	<b>\$230,000</b>	<b>\$230,000</b>
HVCT- HIV Testing Services	\$80,000	\$80,000	\$80,000	\$80,000	\$80,000
HTXS- Adult Treatment	\$150,000	\$150,000	\$150,000	\$150,000	\$150,000
<b>Prevention Total</b>	<b>\$75,000</b>	<b>\$75,000</b>	<b>\$75,000</b>	<b>\$75,000</b>	<b>\$75,000</b>
HVOP – Other Sexual Prevention	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
<b>Health Systems Strengthening Total</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>
HLAB- Laboratory Infrastructure	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000
<b>TOTAL</b>	<b>\$405,000</b>	<b>\$405,000</b>	<b>\$405,000</b>	<b>\$405,000</b>	<b>\$405,000</b>

## Approaches to Reaching Sustainable Epidemic Control

Proposals are requested to support Niger to reach sustainable control of the HIV/AIDS epidemic through the pillars of transparency, accountability, and impact.

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

The partner must work in complete coordination with the partner militaries' HIV prevention and health services, as well as the DHAPP/DoD Program Manager based at the US Embassies in these countries, the DOD adult and pediatric treatment program manager

based at the Military Health Department, other DHAPP supported implementing partners working in these countries, other bilateral and multilateral agencies with similar objectives and the DHAPP Headquarters Team. The Grantee is the Implementing Partner and will be referred to as IP in this document.

## Targets

Progress towards epidemic control will be successfully measured, in part, through an effective strategic information framework that not only monitors program outputs, but also key outcomes and programmatic impact.

Collection and use of disaggregated data that characterizes the populations served in the lowest geographic areas where HIV services are being provided is critical in understanding current program performance and planning for future performance. Consequently, the Monitoring, Evaluation, and Reporting (MER) indicators continue to evolve in order to reflect the progression of U.S. government (USG) support and global HIV response guidelines. Measuring the impact of support at national and regional above-site levels down to direct services at the site-level is paramount to DHAPP's program implementation and monitoring approach.

MER indicators are not an exhaustive list of all metrics that should be monitored by DHAPP-supported programs. These programs should continually monitor and assess any acute programmatic issues and collect additional data to inform program improvement.

The indicators listed below strives to drive program monitoring to a more patient-centered approach. Per the 2017 WHO Consolidated Guidelines on Person-Centred HIV Patient Monitoring and Case Surveillance, person-centered monitoring refers to a shift from monitoring measuring services (e.g., the number of individuals tested or people on treatment) to monitoring people at the center of their access to linked HIV and health services. In essence, this marks a shift to better support the clients accessing services by focusing more on their individual health outcomes.

The proposal will address approaches to reaching the following targets for military and civilian populations.

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

to demonstrate transition of programmatic capabilities and capacity to the military over the life of the grant.

The partner must work in complete coordination with the FAN's HIV prevention and health services, as well as the DHAPP/DoD Program Manager based at the US Embassy in Niger, the DOD adult and pediatric treatment program manager based at the Military Health Department, and the DHAPP Headquarters Team. The Grantee is the Implementing Partner and will be referred to as IP in this document.

Proposals are requested to support Niger to reduce the number of new HIV infections and other sexually transmitted diseases and the number of death due to AIDS among members of the Forces des Armées Nationale Nigerienne (FAN), their families, and the civilian communities served by the FAN and help the military reach the UNAIDS 90-90-90 goals.

The TBD partner will work directly with the FAN in the military HIV Prevention, Care and Treatment program and increase the FAN's capacity to deliver comprehensive and quality HIV prevention, treatment and viral load suppression in a sustainable and cost effective way. The strategic objectives of this program are as follows: 1) Focus/target/customize early prevention programming and testing to highest risk groups using combined data sources;

2) Drastically increase early stage HIV diagnosis through optimized case finding, high risk assessment and index testing with fidelity; 3) Accelerate access to ART through same day ART initiation and improved fidelity of differentiated service models; 4) Enhance capacity of sites to deliver tailored, high-quality HIV services at a high standard of care for priority sub- populations; 5) Aggressively reduce HIV disease-related stigma and discrimination as well as stigma and discrimination against Key Populations and PLHIV that impede uptake of services across the continuum; 6) Enhance national capacity for governance for sustained leadership and ownership and effective health policy adoption; 6) Bolster health systems strengthening for quality control, monitoring and real-time response. To achieve these objectives Department of Defense HIV/AIDS Prevention Program (DHAPP) programming to support the FAN will focus on the following technical areas: 1) HIV Prevention; 2) HIV Testing Services (HTS); 3) Prevention of Mother-to-Child Transmission (PMTCT); 4) HIV/AIDS Care and Treatment; 5) Clinical Laboratory Support; and 6) HIV Clinical Monitoring Systems; and 7) Military Health System Strengthening.

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

## Prevention

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Technical Area Targets, Year 1			
Indicator	Label	Military Only	Civilian
PP_PREV	Number of priority populations (PP) reached with the standardized, evidence-based intervention(s) required that are designed to promote the adoption of HIV prevention behaviors and service uptake	10,000	

The IP will support both the FAN and also the national civilian HIV/AIDS Prevention Program. The IP will ensure that the partner military is providing standardized, evidence-based interventions that are designed to promote the adoption of HIV prevention behaviors and service uptake for all military and other uniformed services as well as other priority populations served by the military health services. These priority populations (PP) could include adolescent girls and young women, clients of sex workers, displaced persons, fishing communities, mobile populations, and non-injecting drug users.

The IP will ensure that the required interventions for adults and youth include:

- Promotion of relevant adult and youth friendly prevention and clinical services and demand creation to increase awareness, acceptability, and uptake of these services.
- Information, education, and skills development to: reduce HIV risk and vulnerability; correctly identify HIV prevention methods; adopt and sustain positive behavior change; and promote gender equity and supportive norms and stigma reduction.
- Referral to or provision of HIV testing; facilitated linkage to care and prevention services; and/or support services to promote use of, retention in, and adherence to care.
- Condom and lubricant (where feasible) promotion, skills building, and facilitated access to condoms and lubricant (where feasible) through direct provision or linkages to social marketing and/or other service outlets.
- Programs targeting adults to raise awareness of HIV risks for young people, promote positive parenting and mentoring practices, and effective adult-child communication about sexuality and sexual risk reduction.

## Testing

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Technical Area Targets, Year 1			
Indicator	Label	Military Only	Civilian
HTS_INDEX	Number of individuals who were identified and tested using Index testing services and received their results Number of individuals who received HIV Testing Services (HTS) and received their test results	3,980	708
HTS_TST			1,815

Finding the remaining persons who are living with HIV infection is the first priority for reaching HIV epidemic control. Current epidemiology shows us that most of those who do not yet know about their infection are men. The FAN HIV/AIDS program is strategically placed to reach men; therefore, the IP will work closely with the FAN on HIV Testing Services (HTS), particularly index testing and self-testing, in an effort to achieve the “first 90” for military personnel: 90% of all FAN personnel living with HIV know their status.

HTS will focus primarily on index testing to provide high yield testing to those most at risk for infection. The local epidemiology and situational analysis should guide the use of other testing methodologies to identify those who are living with HIV.

Provider-Initiated Testing and Counseling (PITC) will continue in the fixed sites for both the military and civilian cohorts. PITC should focus in clinical areas that have shown a high yield such as TB and STI clinics.

Ensuring that any positives identified are linked to HIV care and treatment is essential to the success of the FAN program. The IP should work to achieve 100% linkage of HIV+ individuals identified. The IP will monitor HIV testing yield; modifying strategies or locations that are not identifying and/or linking significant numbers of HIV positive persons to HIV care and treatment.

The IP will be responsible for:

- HTS to military bases and facilities
  - Diagnosing 253 PLHIV with 90% of those diagnosed linked to HIV care and treatment services
  - Index-case testing for all sexual partners of HIV-infected military

- personnel and civilians
  - Index-case testing for all children under 10 years of age with HIV-infected mothers.
  - Index clients should also be offered self-testing for partners if they do not volunteer for partner notification.
- HTS to military bases and facilities, ensuring at least 90% of those diagnosed are linked to HIV treatment services
- Quality improvement and quality assurance for all FAN HTS including continuous training and mentoring and supervision visits, at least quarterly
- Conducting proficiency testing for all HTS sites and individuals
- Tracking PLHIV from HTS to clinical care and treatment services.
- Monitoring HIV testing yield; modifying strategies or locations that are not identifying and/or linking significant numbers of HIV positive persons to HIV care and treatment

## Treatment

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Technical Area Targets, Year 1			
Indicator	Label	Military Only	Civilian
TX_CURR	Number of adults and children currently receiving antiretroviral therapy (ART)	418	347
TX_NEW	Number of adults and children newly enrolled on antiretroviral therapy (ART)	197	55

DHAPP will continue to reduce its overall level of support for CD4 testing to prioritize access to viral load testing. CD4 count is not needed to determine eligibility for ART (and continued CD4 testing may perpetuate the belief that CD4 count thresholds are criteria for initiating ART) and, as reflected in current WHO guidelines, CD4 is inferior to viral load for treatment monitoring.

- DHAPP's priority is access to critical HIV treatment monitoring which is viral load.
- DHAPP will support host country governments to maintain limited CD4 testing capacity at referral facilities for management of patients with complicated or advanced disease or treatment failure.
- Routine baseline CD4 testing at start of ART is not a priority for DHAPP. However, DHAPP will consider proposals to include support for limited CD4 testing outside of referral facilities, if they can provide evidence from PHIA or other reliable data sources that newly diagnosed PLHIV continue to have rates of CD4 < 100 substantially greater than 10%.

Dolutegravir (DTG)-containing regimens are the preferred first-line antiretroviral therapies (ART) due to superior efficacy, tolerability and higher threshold for resistance compared to efavirenz (EFV)-containing regimens. The fixed dose combination (FDC) of tenofovir

disoproxil fumarate/lamivudine/dolutegravir (TLD) is currently priced as the least expensive FDC, and it is expected that prices will go down as generic manufacturing scales up. For these reasons, DHAPP now recommends TLD as the preferred option for ART, and further recommends that DHAPP-supported programs switch over to TLD as soon as possible in a coordinated fashion as supply becomes available.

Programs should carefully assess the risk and benefit of TLD in child-bearing age women. See published updated from PEPFAR to further understand the high benefits in the face of a potential NTD signal.

Children (< 30kg) are not expected to be included in the initial roll-out of TLD. Development of pediatric DTG formulations and evaluation of appropriate DTG dosing in infants and children are underway.

TB preventive therapy (TPT) must be scaled up for all PLHIVs as an integral part of the clinical care package. DHAPP-supported care and treatment programs need to catalyze the introduction and scale-up of TPT. IPs are expected to increase the use of TB diagnostic testing within DHAPP-supported HIV care and treatment facilities and promote the use of TPT as a routine part of HIV care. As a consequence, programs should have clear policies and/or guidelines for the use of TPT, and should plan for programmatic and clinical trainings, procurement and supply management, adequate diagnostic capacity (including specimen transportation) and development of appropriate data collection systems. In Global Fund high-impact countries implementing joint TB/HIV grants, IPs should also seek opportunities to support effective joint program implementation. Additionally, IPs should implement TB infection prevention and control activities to minimize the risk of TB transmission and provide safe health seeking environment. This is critical in DHAPP-supported settings where clients at high risk for TB and HIV often co-mingle. It also puts the health care workers at the highest risk of contracting TB disease. Activities aimed at preventing transmission at facility-level include administrative and environmental controls, and the availability and use of personal protective equipment. Infection prevention and control basics will also be important for ART adherence clubs and other community clinical work.

## Viral Suppression

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<b>Technical Area Targets, Year 1</b>			
<b>Indicator</b>	<b>Label</b>	<b>Military Only</b>	<b>Civilian</b>
TX_PVLS	Percentage of ART patients with a suppressed viral load (VL) result (<1000 copies/ml) documented in the medical or laboratory records/laboratory information systems (LIS) within the past 12 months	60	60

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

The FAN currently provides viral load testing from four military laboratories throughout the country. The IP will work directly with the FAN at the four fixed sites to achieve the military viral load testing targets.

The IP will be responsible for:

Support and participate in viral load testing per current WHO and national guidelines, with reporting on TX\_PVLS.

## **Health Systems**

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<b>Technical Area Targets, Year 1</b>			
<b>Indicator</b>	<b>Label</b>	<b>Military Only</b>	<b>Civilian</b>
LAB_PTCQI	Number of PEPFAR-supported laboratory-based testing and/or Point-of-Care Testing (POCT) sites engaged in continuous quality Improvement (CQI) and proficiency testing (PT) activities.	3	

The IP will be responsible for:

- Ensure that inventory control, forecasting, and procurement of laboratory reagents is complete so that laboratory services are uninterrupted.
- Ensure the procurement of appropriate service maintenance contracts, calibration of equipment.
- Procurement of supplies, support, and equipment should use government and other donor sources when possible (Ministry of Health, Ministry of Defense, Global Fund, etc).
- Provide appropriate training of FAN laboratory staff to support quality improvement and delivery of DHAPP-approved HIV/AIDS services.
- Ensure quality improvement of laboratories using Site Improvement through Monitoring System (SIMS) Assessment Tool, Strengthening Laboratory Management Toward Accreditation (SLMTA) and Stepwise Laboratory Quality Improvement Process Towards Accreditation (SLIPTA) to reach full ISO 15189 accreditation of main laboratories and quality improvement of all satellite laboratories and HIV test sites. All HIV testing sites must participate in and maintain standards for quality improvement as specified by the national authorities and SIMS standards which include regular proficiency testing and remediation.

- Monitor laboratory quality and adherence to quality systems, method validation, provision of proficiency testing panels for rapid HIV testing, viral load, TB, STI and other tests critical to HIV epidemic control.
- Conduct routine visits to laboratories to assess achievements, review/evaluate activities (including using Site Improvement through Monitoring System (SIMS)), and provide recommendations with the development of improvement plans to resolve any identified problems.
- Link FAN military laboratory services to other laboratory resources at the district, provincial, and national levels.
- Participate in a virtual community for knowledge sharing between DHAPP HQ and field staff, priority country militaries. The IP will be notified on how to join this virtual community.

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The purpose of SIMS is to provide a standardized approach and set of tools for monitoring program quality at DHAPP-supported sites and entities that guide and support service delivery. SIMS assessment results are used to strengthen alignment with global and national standards and facilitate program improvement as a component of an overall quality management strategy. SIMS is also used to identify performance issues that may impact patient outcomes or the integrity of reporting for MER targets or disaggregates. Low final scores (reds and yellows) from these core essential elements (CEEs) highlight potential issues with service delivery, site performance or oversight, and/or documentation of patient results. Site-level triangulation of MER and SIMS data can be used to contextualize performance and could be useful to determine if performance challenges at a site are due to issues related to the underlying quality of service provision.

Site Improvement through Monitoring System (SIMS) aims to: (1) facilitate improvement in the quality of DHAPP-supported services and technical assistance, (2) ensure accountability of U.S. government investments, and (3) maximize impact on the HIV epidemic.

SIMS assessment results confirm compliance to minimum quality assurance standards and identify areas where improvements in DHAPP-supported programs can be made.

Programs should conduct SIMS assessments in accordance with DHAPP guidance and implementing partners are responsible for taking corrective action for items within the IP SOW and per discussion with DHAPP USG staff.

## **Data Monitoring**

Successful tracking of patient level data is critical to the success of the partner military HIV program's ability to monitor progress towards epidemic control. The Grantee will work with the respective partner militaries to support the collection of patient-level data, the clinical and programmatic use of data, and the reporting of site-level data to DHAPP HQ and the partner military leadership.

The IP will be responsible for:

- Staffing support and mentoring of existing partner military staff for data entry
- Ensuring confidentiality and security of data, in line with MOD, MOH, and national guidelines
- Timely, accurate reporting of all indicators required by the partner military and DHAPP.
- Securing all patient-level and site-level data from dissemination outside of the partner military and DHAPP without prior approval from the partner military.
- Support for data entry, cleaning, reporting, and use.

## **Data Quality**

Measuring the success of HIV/AIDS initiatives requires strong monitoring and evaluation (M&E) systems that produce high quality data. Efforts to ensure data quality, therefore, are not singular events occurring randomly. Rather, these processes need to become institutionalized as part routine data management processes. Once achieved, data quality helps to ensure that limited resources are used effectively, progress toward established goals are accurately monitored, and that decisions are based on strong evidence. Attention to data quality ensures that target-setting and results reporting are informed by valid and sensitive information, and that all partners are thinking about and collecting and organizing this information in the same manner. In this way, attention to data quality leads to improved program performance and to more efficient resource management.

Data quality has always been a focus of global HIV monitoring and reporting efforts. Specifically, all countries conducting programming supported by DHAPP are expected to have a data quality strategy in place. For example, data quality assessments should be conducted routinely and action should be taken as a result of these DQAs. If errors are identified in data, these should be remediated at the point of service delivery as well as in the DHAPP and host-country reporting systems as soon as possible. Standard operating procedures for routine data quality review should also be in place. Data should be routinely reviewed for errors before submission to ensure that the data passes the data quality checks outlined within the guidance and the Data Review Tool available in DATIM.

## Work Plans

The Grantee must submit annual, programmatic and financial, work plans to the DHAPP Program Manager and DHAPP HQ (budget breakdown per activity and for program management is required). Work plans should include an activities implementation timeline as well as monitoring and evaluation timeline.

## Reporting

- Quarterly Fiscal Reports: The grantee must submit quarterly programmatic and financial reports to DHAPP in order to monitor expenditures according to the program budget codes. The report template will be provided by DHAPP. Submit data within 30 calendar days following each reporting period (3/31, 6/30, 9/30, and 12/31).
- Interim Progress/Monitoring, Evaluation, and Reporting (MER) Report: This report shall summarize progress in relation to the approved work plan as well as monitor grant deliverables. The Grantee shall submit quarterly indicator reports in accordance with the format provided by the Program Office within 45 calendar days following the end of the reporting period: 12/31, 3/31, 6/30 and 9/30. The Grantee shall provide reports in accordance with the template provided by DHAPP
- Reports will follow DHAPP Headquarters and Country Team Templates



## **ATTACHMENT 2**

Certifications, Assurances,  
Representations, and  
Other Statements of the Recipient

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

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

### **Part I – Certifications and Assurances**

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

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

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

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

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

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

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

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

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

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

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

## **2. Certification Regarding Lobbying**

The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

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

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

### **Statement for Loan Guarantees and Loan Insurance**

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

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

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

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

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

### **4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224**

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury’s Office of Foreign Assets Control (OFAC).
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by OFAC, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by United States Government (USG) to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the “1267 Committee”) [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee’s Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware

and all public information that is reasonably available to it or of which it should be aware.

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

3. For purposes of this Certification –

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

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

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

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

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

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

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

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

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

participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

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

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:

1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision "Trafficking in Persons" and is in compliance with that plan;
2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision "Trafficking in Persons" and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and
3. To the best of the representative's knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision "Trafficking in Persons."

## **6. Certification Regarding Debarment, Suspension, and Other Responsibility 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.

## **7. Certification Regarding Drug-Free Workplace Requirements**

### *Alternate I. (Grantees Other Than Individuals)*

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

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

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

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

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

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

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

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

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

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

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

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction.

Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

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

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

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

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

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

## **8. Statement of Condoms**

The recipient certifies that information provided about the use of condoms as part of projects or activities that are funded under this Grant shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact

sheet entitled, "USAID: HIV/STI Prevention and Condoms." This fact sheet may be accessed at: <http://www.usaid.gov/sites/default/files/documents/1864/condomfactsheet.pdf>

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

### 9. Certification of Recipient

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

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

Funding Opportunity Announcement No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name or Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### NOTICE:

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

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

### Part III – Participant Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

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

- (a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –
- (1) “Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or
  - (2) “Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

### **(b) Applicant Representation:**

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

- (1) The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.
- (2) The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

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

## **Part V – Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation**

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) **Representation.** By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

## RECIPIENT CERTIFICATION OF COMPLIANCE

To: Executive Director/CFO  
Name of Grantee

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

representative of \_\_\_\_\_  
Organization Name

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

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

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

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

N00244-19-S-F001  
 ATTACHMENT 3  
 Statement of Work Example

**SOW - Phase 1**

Applicant Name:

			TOTAL	\$ 950,500.00	
Country_Name	Prime_Partner	Mechanism ID	Program_Area	Activity_Planned_Funding	Activity_Narrative
XXXXX	XYZ	12345	HVCT	\$ 170,500.00	targets and required activities as stated on the FOA
XXXXX	XYZ	12345	HTXS	\$ 300,000.00	List out targets and required activities as stated on the FOA
XXXXX	XYZ	12345	MTCT	\$ 150,000.00	targets and required activities as stated on the FOA
XXXXX	XYZ	12345	HLAB	\$ 180,000.00	targets and required activities as stated on the FOA
XXXXX	XYZ	12345	HVSI	\$ 150,000.00	targets and required activities as stated on the FOA