

DEPARTMENT OF STATE
Office of the U.S. Global AIDS Coordinator and Global Health Diplomacy (S/GAC)
NOTICE OF FUNDING OPPORTUNITY #SBUR-SOGAC-17-001
Prime Recipients for Key Populations Investment Fund (KPIF)

DEPARTMENT OF STATE

Office of the U.S. Global AIDS Coordinator and Health Diplomacy (S/GAC)

Notice of Funding Opportunity: Prime Recipients for Key Populations Investment Fund (KPIF)

Announcement Type: Notice of Funding Opportunity for a New Cooperative Agreement

Estimated Number of Awards: 10-25

Deadline for Applications: 21 October 2016 by 11:59pm EDT

SUMMARY

The Department of State’s Office of the U.S. Global AIDS Coordinator and Health Diplomacy (S/GAC) announces a Notice of Funding Opportunity (NOFO) for organizations to serve as “Prime Recipients” for the “Key Populations Investment Fund (KPIF)”, pending availability of funds. The purpose of the KPIF is to support scale up of key population (KP)-led community approaches to enhance and expand quality HIV/AIDS services for key populations. KPIF will also address stigma, discrimination, and violence against key population groups. KPIF ultimately seeks to create quality service delivery that leads to increased HIV testing, improved linkage to HIV prevention and treatment services, and viral load suppression to mitigate the HIV epidemic amongst these populations. It is anticipated that most Prime Recipients will re-grant most their awards to community-based sub-awardees to address the focus areas outlined below related to specific key populations and geographic areas they serve.

Key populations are defined as: gay men and other men who have sex with men (MSM); transgender persons (TG), sex workers (SW), people who inject drugs (PWID), and people in prisons and other closed settings.

Eligible countries are those that fall under the U.S. President’s Emergency Plan for AIDS Relief (PEPFAR) country or regional operating plans, along with some additional countries that receive bilateral funds:

Asia-Pacific	Caribbean	Latin America	East and Southern Africa (Sub-Saharan)	Eastern Europe/Central Asia	West and Central Africa
Burma, Cambodia, China, India, Indonesia, Laos, Nepal, Papua New Guinea, Thailand, Vietnam	Bahamas, Barbados, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Suriname, Trinidad and Tobago.	Brazil, El Salvador, Guatemala, Honduras, Nicaragua, Panama	Botswana, Burundi, Djibouti, Ethiopia, Kenya, Lesotho, Malawi, Mozambique, Namibia, Rwanda, South Africa, South Sudan, Swaziland, Tanzania, Uganda, Zambia, Zimbabwe	Kazakhstan, Kyrgyz Republic, Tajikistan, Ukraine	Angola, Cameroon, Cote d’Ivoire, Democratic Republic of Congo, Ghana, Nigeria, Mali, Senegal, Sierra Leone

Successful applicants will demonstrate capabilities and/or experience in the following areas:

- 1) Key population health service delivery integrated with human rights advocacy and respect for all persons;
- 2) Grant solicitation and management of grants to community-based organizations;
- 3) Technical assistance, impact monitoring, and program evaluation, particularly as they relate to small grants management;
- 4) Capacity for participating in a data-driven planning process;
- 5) Strong collaborative relationships with key population-led community organizations;
- 6) Building relationships with relevant in-country stakeholders, particularly PEPFAR programs and,
- 4) Organizational capacity strengthening and program management support.

Successful applicants will also demonstrate knowledge of effective HIV prevention, care, and treatment interventions related to the key populations they serve and existing in-country or in-region; activities supported by PEPFAR, other donors, national/local governments, and The Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund).

PLEASE NOTE: Prior to submitting an application via www.Grants.gov or www.GrantSolutions.gov, applicants must have: (1) a valid Unique Entity Identifier (formerly known as a DUNS number); and (2) a valid System for Award Management (SAM) registration (www.sam.gov). S/GAC urges potential applicants to apply immediately for a Unique Entity Identifier as well as to register immediately with www.sam.gov and www.grants.gov. Applicants are advised that it can take up to one week to complete SAM registration before it is possible to start registering for www.grants.gov, and up to an additional week to register with www.grants.gov (i.e., to obtain a username and password). Non-U.S. applicants will also require a NATO NCAGE number, a process normally requiring up to two additional weeks.

BACKGROUND INFORMATION

In June 2016 at the UN High Level Meeting, Ambassador Deborah L. Birx, M.D., U.S. Global AIDS Coordinator & U.S. Special Representative for Global Health Diplomacy stated, “The principles of good public health demand that we strive to reach all affected populations with core HIV services even when facing difficult cultural contexts, severe stigma and discrimination, or challenging security environments... We will only end the AIDS epidemic by 2030 if no one is left behind... PEPFAR stands firmly and unequivocally with and for key populations... and we are deeply committed to protecting and promoting their health and human rights.”

Over the past few years, S/GAC has recognized the significant unmet need for prevention, care, and treatment programs and services among key populations throughout the world and supported a pivot to target efforts at the local and national level. However, enormous existing needs persist. While strides have been made in some settings to strengthen HIV clinical and community services supporting key populations, size estimates are frequently inaccurate and a lack of adequate resources are invested in programs to address social and structural issues that inhibit access to and retention in quality HIV services. Addressing socio-structural factors such as stigma, discrimination, violence, and law enforcement harassment, as well as laws and policies that criminalize drug use, sex work, and diverse forms of gender identity and sexuality, is essential. These factors create barriers to accessing HIV services and limit the effectiveness of service delivery.

In response to the challenges facing key populations, and recognizing the necessary involvement and power of community-led efforts, S/GAC is launching this new initiative called the “Key Populations Investment Fund (KPIF).” The purpose of the KPIF is to support both proven and innovative community-led approaches tailored to address the critical enablers noted below and gaps that exist for key populations in the HIV/AIDS response. The KPIF also aims to identify, measure, respond to, and change the complex dynamics driving stigma, discrimination, and violence against key population groups and support effective, supportive service delivery. The ultimate expectation of the Investment Fund is to increase HIV testing, improve linkage to HIV prevention and treatment services, suppress viral load, and mitigate the HIV epidemic amongst these populations, thereby contributing to the development of an AIDS free generation.

II. PROJECT OBJECTIVES

In July 2016, UNAIDS released their Prevention Gap Report in which they identified ongoing challenges to quality care among key populations. This report identified critical enablers that should be included in programs to address structural barriers to services for key populations. The World Health Organization (WHO), The Global Fund, and PEPFAR have recognized the need to address these enablers to overcome socio-cultural barriers to improve the accessibility, acceptability, uptake, equitable coverage, quality, effectiveness, and efficiency of HIV interventions and services among key populations. The critical enablers include:

- 1) Addressing and mitigating stigma, discrimination, and violence;
- 2) Attention to supportive legislation, policies, and judiciary and law enforcement personnel;
- 3) Sensitizing and training media professionals, local journalists, health care workers, law enforcement officials, community leaders, and religious leaders on health and human rights, particularly for key populations; and
- 4) Community engagement at all levels of program planning, implementation, and evaluation.

Focus Areas: After thorough consultation with key stakeholders, including key population community and civil society representatives, the following areas have been determined as “focus areas” for the KPIF to address barriers that continue to keep key populations at the margins of the global HIV/AIDS response. S/GAC recognizes that a comprehensive approach is needed for community-led KP programs that combine health services and advocacy to create more supportive environments at the local, district, and national levels. The development and implementation of KP-specific programs must include KP representatives in all levels of decision-making, policy-formulation, program evaluation, and implementation. The focus areas include:

- Expanding demand for and access to quality, effective HIV prevention, care, and treatment services for key populations;
- Addressing structural barriers that inhibit access to and the effectiveness of HIV services, including legal, law enforcement, policy, economic, and educational barriers;
- Systematic and rigorous action to respond to, mitigate, and monitor stigma, discrimination, and violence at individual, community, and national levels;
- Promoting the human rights of and social justice for all persons, without distinction; and
- Supporting the collection and analysis of epidemiologic data on key populations and sub-populations.

Monitoring Impact, Program Evaluation, and Sustainability: Prime Recipients also will be expected to work with sub-awardee partners on:

- Monitoring impact and program evaluation, including data collection and dis-aggregation, in line with PEPFAR indicator reporting on key populations. Collected data should be used to develop KP HIV clinical cascades documenting the number of KPs reached, tested, enrolled in treatment or prevention services, retained on HIV treatment, and showing viral suppression. In addition, Prime Recipients should work with sub-awardees to develop customized indicators documenting the impact of structural interventions such as reducing stigma, discrimination, and violence through legal, policy, economic, and human rights-focused programs and interventions.
- Providing technical assistance/capacity strengthening to key population-led community based organizations, focusing on directly implementing quality services in a sustainable manner.
- Advocating for data-driven planning and monitoring and evaluation (M&E).
- Promoting the sustainability of the funded interventions by ensuring that personnel and administrative infrastructure are developed to continue the proposed programs once the KPIF funding is exhausted.

Subject to the availability of funds, the KPIF expects to support several organizations to serve as Prime Recipients over the course of up to four years. Consortia of organizations are encouraged to apply but the award will be given to one Prime Recipient organization which may then sub-contract or hire consultants. S/GAC recognizes that some KP-focused organizations may not have the capacity to execute sub-grant processes and encourages them to establish such consortia.

Award Information

Funding Instrument Type: Cooperative Agreement

Anticipated Total Program Funding: Subject to available funds, up to \$100,000,000.00 over four years

The proposed project should be implemented in eligible countries identified in section 1 those that fall under the U.S. President's Emergency Plan for AIDS Relief (PEPFAR) country or regional operating plans, along with some additional countries that receive bilateral funds. The Department of State also reserves the right to award more or less funding as deemed in the best interest of the U.S. government.

The recipient of funding under this announcement will be required to submit quarterly technical and financial reports during the term of the project, as well as a final report.

Prime Recipients may request \$500,000 to \$10,000,000 over a four-year period. Funding requests should be grounded in epidemiological data and capacity needs of the KP along with the scope and geographic reach of the application.

As appropriated, Prime Recipients will be expected to provide funding to sub-awardees to address the needs of at least one of the key population groups in one or more PEPFAR partner countries (see

list above). The Prime Recipients may apply to support more than one key population group. The Prime Recipients, in consultation with S/GAC, will determine sub-awardees through their own solicitation processes and are encouraged to explore creative ways to fund small, KP-led community based organizations (e.g., Fixed Assistance Awards).

Sub-awardee awards may be up to \$150,000 per year for up to three years.

Applications will be reviewed to assess the applicant's ability to manage the sub-awards. This will include examining their operating budget for the past five years. Therefore, Prime Recipients are encouraged to provide evidence that they have the technical expertise, capacity, and infrastructure to manage their requested budget and/or a plan to strengthen such capacity in a relatively short period of time.

Proposals to work in the PEPFAR countries noted above must complement and be aligned with the current PEPFAR, Global Fund, and government-funded programs. This will require close collaboration with PEPFAR country teams, a knowledge and understanding of Global Fund programming, a good sense of the KP-led organizations and networks in each country, and a thorough understanding of the HIV epidemic among specific KP populations, including current effective and ineffective strategies being implemented.

The Prime Recipient will be expected to serve in its role for up to four years, which is anticipated to include a six-month start-up period with a participatory grant solicitation and selection process component followed by a three and a half years of disbursing, managing, and monitoring funds to sub-awardees.

Please take into consideration the following information when preparing your proposal narrative:

More specifically, the Prime Recipients selected through this NOFO will be responsible for:

1) Solicitation Process:

The Prime Recipients will conduct a transparent and participatory solicitation process in accordance with U.S. government rules and procurement regulations. Each Prime Recipient will launch a solicitation for proposals and will manage the application and review processes, including due diligence, capacity strengthening assessments, impact monitoring, and execution of the sub-awards.

2) Reporting to S/GAC and PEPFAR Country Teams / Managing, Monitoring, and Evaluating Sub-awards:

Prime Recipients are responsible for sub-awardee performance management, impact monitoring, and performance evaluation to ensure PEPFAR funds are being used appropriately. Relevant program results will be reported in S/GAC systems on a quarterly basis. Any funds awarded by the U.S. government are expected to be expended according to the terms and conditions of the award and applicable U.S. federal regulations.

3) Technical Assistance to Enhance Impact:

It is expected that the Prime Recipients will work with sub-awardees to enhance program impact through the identification of personnel and technical and/or organizational capacity gaps, and will

coordinate efforts to strengthen such capacity primarily utilizing these funds, in-country mentors, and South-to-South technical exchanges.

4) Organizational Capacity-strengthening for Sustainability beyond this Funding:

Prime Recipients will support sub-awardees to build stronger personnel, management and resource development systems to sustain their efforts beyond the KPIF (e.g. fundraising skills, advocacy skills, management skills, financial management, strategic planning, etc.)

5) Avoiding Duplication of Effort:

Prime Recipients must demonstrate an in-depth knowledge of the programs and activities in the countries in which they propose to fund sub-awardees to avoid duplication of efforts. This includes being aware of initiatives that are supported by other PEPFAR programming (e.g., KP Implementation Science, KP Challenge Fund, Local Capacity Initiative, LINKAGES), Global Fund, UN agencies, other bilateral donors (e.g. Bridging the Gaps, DfID, SIDA, etc.), indigenous and KP-focused donors (e.g. UHAI-EASHRI, Other Foundation, Red Umbrella Fund, AIDS Fonds, AJWS, Sidaction, etc.), and private foundations and corporations (e.g., Elton John AIDS Foundation, ViiV Healthcare Positive Action, etc.).

III. APPLICATION REQUIREMENTS AND CONTENT

Applicants must follow the NOFO instructions and conditions contained herein and supply all information required. Failure to furnish all information or comply with stated requirements will result in disqualification from the competition. Applicants must set forth full, accurate, and complete information as required by this NOFO. The penalty for making false statements in applications to the U.S. government is prescribed in 18 U.S.C.1001.

Please read the complete announcement before sending inquiries or submitting proposals. Once the NOFO deadline has passed, S/GAC staff may not discuss this competition with applicants until the proposal review process has been completed.

Applications Submitted Through GrantSolutions (www.grantsolutions.gov)

Applicants are highly encouraged to submit applications via www.grantsolutions.gov.

Organizations using www.grantsolutions.gov for the first time must register on the www.grantsolutions.gov site to create a New Organization account and should do this as soon as possible. This registration step must be completed before an application can be submitted.

To register with www.grantsolutions.gov, click the “Login to GrantSolutions” button on the homepage and then the “REGISTER” button in the First Time Users section. Select the appropriate registration method and complete the “Applicant Registration” application form. Organizations that have previously used www.grantsolutions.gov do not need to register again. If an individual from an organization that has previously used www.grantsolutions.gov is not able to access the system, please contact Customer Support for help: help@grantsolutions.gov or call 1-866-577-0771 or 1-202-401-5282.

Applicants who are selected for foreign assistance funding will be required to have an active registration in the System for Award Management (SAM.gov). Although registration is not required prior to submitting an application via www.grantsolutions.gov, we ask all interested applicants to register their organization at SAM.gov as soon as possible to avoid future delays.

Organizations that have used SAM.gov previously should note that in order to maintain an active registration, users must log into their SAM.gov account at least once every 13 months (395 days) and must update their registration annually. If your account has become inactive, please reactivate your account as soon as possible. Inactive accounts may be activated using steps outlined in the System for Award Management User Guide. Instructions on how to register with SAM.gov are also available at: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

Electronic applications submitted via www.grantsolutions.gov must contain the SF-424 online forms (completed) and any additional documents specified in the application kit. Applicants should wait until the upload for those additional documents shows the status as “Successful” before moving to the next part of the application kit.

Upon completion of a successful electronic application submission, the GrantSolutions system will provide the applicant with a confirmation page indicating the date and time (Eastern Time) of the electronic application submission as well as an official Application Number. This confirmation page will also provide a listing of all items that constitute the final application submission. Please print this page for your records.

For assistance with www.grantsolutions.gov please contact the Grants Center of Excellence (CoE) Customer Support at help@grantsolutions.gov or call 1-866-577-0771 (toll charges for international callers) or 1-202-401-5282. Customer Support is available 8 AM – 6 PM EST, Monday – Friday, except federal holidays. For further assistance, please reference the videos posted to HHS’s support page at <https://home.grantsolutions.gov/home/grantee-training-videos/>.

Applications Submitted Through www.grants.gov

Applicants who do not submit applications via www.grantsolutions.gov may submit via www.grants.gov. However, please note that application submission via www.grantsolutions.gov is highly encouraged. If applicants experience difficulty submitting an application via www.grants.gov, they should try www.grantsolutions.gov.

Both a valid Unique Entity Identifier (formerly DUNS) number and a SAM.gov registration are required prior to submitting an application via www.grants.gov. Please register with SAM.gov as soon as possible; if your organization is already registered with SAM.gov, please ensure that your account is active.

Organizations should verify that they have a Unique Entity Identifier number or take the steps needed to obtain one as soon as possible. Instructions for obtaining a Unique Entity Identifier number can be found at <http://fedgov.dnb.com/webform>.

Electronic applications submitted via www.grants.gov must contain the online SF-424 forms and any additional required documents. Upon completion of a successful electronic application submission on www.grants.gov, the applicant will receive an email confirmation that the application has been

successfully submitted and is in the process of verification. The applicant will then receive another email confirming that the application has been verified. Both emails are provided by www.grants.gov to verify that an application was received. Please print these emails for your records.

For assistance with www.grants.gov, please call the Grants.gov Contact Center at 1-800-518-4726 or email support@grants.gov. The Grants.gov Contact Center is available 24 hours a day, seven days a week, except federal holidays.

The application must include the following:

Section 1 – Content and Form of Application:

- a) Table of Contents that lists application contents and attachments (if any).
- b) Provide a summary of your goals, identified KP focus group(s), geographic reach, needs addressed, proposed activities, expected results and, if known, potential sub-awardees.
- c) A description of your organization’s or consortium’s understanding of HIV issues pertaining to key populations and how your organization approaches the “focus areas” detailed in Section II (Project Objectives) above.
- d) Proposal Narrative (not to exceed 12 single-sided, single-spaced pages in 12 point Times New Roman font in Microsoft Word, at least one-inch margins), following the structure described below. The proposal narrative should identify inputs, outputs, and outcomes of the proposal activities, timelines, and any qualitative or quantitative targets, and impact. This requirement excludes the allowable appendices, which are identified below Note:
- e) Completed and signed SF-424, SF-424A and SF424B, as directed on www.grants.gov. The Certifications and Assurances that your organization is agreeing to in signing the 424 are available at <http://statebuy.state.gov/fa/>
- f) If your organization engages in lobbying activities, a Disclosure of Lobbying Activities (SF-LLL) form is required.
- g) Single-page Scope of Work (includes all proposed program components and links each of these to the specific goal(s) it addresses. This document is not a narrative. It must be in outline form and capture all proposed work to be funded by this project. This includes each proposed program component with a brief statement that links each component to the corresponding goal it supports. SOWs that contain quantitative estimates of expected outputs, outcomes and indicators of success for each component will be considered more competitive;
- h) Summary and detailed Budget in USD, in Excel, using the format shown in the budget template. The budget must identify the total amount of funding requested with a breakdown of amounts to be spent in the following budget categories: personnel; fringe benefits; travel; equipment; supplies; consultants/contracts; other direct costs; and indirect costs. The budget should be by year, for a total of four years, which in addition to the budget categories listed above should also include all costs for disbursing, managing, and monitoring grants and coordinating and supporting technical and capacity strengthening activities to KPIF sub-awardees as needed. Please be sure to include all estimates of indirect and direct costs.

- Note: if your organization has a Negotiated Indirect Cost Rate Agreements (NICRA) and includes NICRA charges in the budget, your latest NICRA should be included as a .pdf file. This document will not be reviewed by the panelists, but rather used by project and grant staff if the submission is recommended for funding and therefore does not count against the submission page limitations. If your proposal involves sub-awards to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file. If your organization does not have a NICRA per 2 CFR 200.414(f) the organization can elect to charge a de minimis rate of 10% of modified total direct costs as defined in 2 CFR 200.68. The budget narrative should indicate what costs will be covered using the 10% de minimis rate.
- i) Detailed Budget Narrative: Following the Detailed Budget, please include a Budget Narrative. The budget narrative should elaborate on the detailed budget, not simply repeat with words what is stated numerically in the budget. The narrative is the place to communicate any information that might not be readily apparent in the budget. For example, in the budget narrative the applicant may:
 - Explain how the expense relates to meeting program goals and objectives;
 - Explain differences in fares among travelers on the same routes (e.g., project staff member traveling for three weeks whose fare is higher than that of staff member traveling for four months);
 - Explain why the number of participants traveling to a program event is different than the number of participants on the program (e.g., fewer participants are traveling to the workshop because they reside in the same location where the workshop will be held);
 - Elaborate on staff salaries and benefits as warranted. For example, explain if a program is multi-year, explain any changes in staffing patterns from one year to the next.
 - j) Key Staff Resumes/CV (Required) – A resume, not to exceed one page in length, must be included for each of the proposed key staff. If an individual for this type of position has not been identified, the applicant may submit a one-page position description identifying the qualifications and skills required for that position in lieu of a resume. Detailed experience working with HIV key populations is required. Applicants are encouraged to propose staffing who are leaders within key population communities. Applicants should indicate who among key staff is fluent in English, as well as competencies in other appropriate languages.
 - A program matrix and/or organization chart describing the staffing structure, including the support that will be provided by your organization to disburse, manage, and monitor KPIF sub-awardees.
 - k) Similar projects that have been implemented with the U.S. government (Required) – A list and a brief description of similar projects the applicant has experience in implementing with the U.S. government. If none, so state.
 - l) Proposed logical framework and timeline for project implementation, including sub-award solicitation process, disbursement of funds, technical assistance/capacity strengthening, monitoring and evaluation, and reporting to S/GAC.
 - m) A PDF file copy of your organization’s most recent financial audit.
 - n) Number all pages, including budget and addenda.

Applicants under consideration for an award will likely be subject to a pre-award survey to determine fiscal responsibility and ensure adequacy of financial controls. This survey contains a list of criteria for determining whether the applicant’s accounting system meets the minimum standards to be eligible for U.S. government funding. These standards include appropriate accounting software and written financial management policies

and accounting procedures. The pre-award survey will involve assessing the extent to which these are in place within an organization and being actively implemented.

Section 2 – Proposed Grants Selection, Disbursement and Management Processes:

- a) A detailed plan for the organization or consortium to conduct a participatory grant-making process (including any history in conducting such processes) and procedures to disburse and manage funds to KPIF sub-awardees across the proposed country/countries and key population group(s).

Section 3 – Organizational Capability and Technical Experience around KP Programming:

- a) An explanation of your organizational structure and evidence of your organization’s commitment to key population leadership and relevant experience. If you are not a key population-led institution, please describe how input and decisions are guided by key population representatives or in what ways your governing body and staff are committed to key population leadership. Letters of support from key population-led civil society organizations (CSOs) are encouraged.
- b) Demonstrated KP health and/or advocacy service programming experience with a focus on the relevant focus area(s).
- c) A detailed explanation of how systems within your organization or consortium will leverage existing mechanisms to carry out the work as described above – particularly any field office presence or partnerships in PEPFAR countries selected for programming. If you do not have existing field office presence, please describe how you will be able to effectively manage sub-awardees who are based in-country. Please also describe the fiduciary and financial management structures that are in place within your organization to support the requirements of the Prime Recipient role and related experience in grants management.
- d) Describe experience and/or plans related to mitigation of unintended harms that may occur to individuals or organizations associated with key populations in your selected country(ies) or region where laws, policies, or social norms may create unsafe environments.
- e) A summary of any prior similar experience working with the U.S. government, particularly on key population programming, and evidence of a strong understanding of U.S. government regulations, policies, and processes.

Section 4 – Monitoring and Evaluation:

- a) The Monitoring and Evaluation Plan should detail how the project’s impact and effectiveness will be monitored and evaluated throughout the project. It should include a framework for how your organization or consortium will set program targets, monitor and evaluate program impact and ensure S/GAC funds are being used appropriately to meet the stated goals of the application. Please include any monitoring and evaluation frameworks or performance indicators you have used in the past or would use with this program.

Section 5 – Technical and Capacity Strengthening for Sub-awardee Coordination Plans:

- a) A summary of the methods and approaches your organization will use to provide technical and organizational capacity-strengthening assistance to KP sub-awardees. Please include any prior similar experience you have had in coordinating or providing technical and/or organizational capacity-

strengthening assistance to KP-led local organizations and/or networks of consultants or other partner organizations available to provide such assistance.

Section 6 – Appendices:

- a) Attachments may be included (letters of commitment from the applicant institution and sub-award partners, CVs of key personnel, project experience, etc.) but should not be unreasonably lengthy; see NOFO for details on required attachments, if any.
- b) Letters of support from proposed partners and sub-awardees, collaboration, or innovative partnerships/matching support.
- c) S/GAC retains the right to ask for additional documents not included in this NOFO. To ensure all applications receive a balanced evaluation, the S/GAC Review Panel will review the application up to the page limit and no further. Additional information that successful applicants must submit after notification of intent to make a U.S. Federal award, but prior to issuance of a U.S. Federal award, may include:
 1. Written responses and any revised application documents addressing any conditions or recommendations from the S/GAC Review Panel;
 2. Completion of the Department’s Financial Management Survey, if receiving U.S. government funding for the first time;
 3. Other requested information or documents included in the notification of intent to make a U.S. Federal award or subsequent communications prior to issuance of a U.S. Federal award.

Substantial Involvement: In a cooperative agreement, S/GAC is substantially involved in program activities above and beyond routine monitoring. S/GAC will be substantially involved in the execution of this program and will oversee the management and administration of these cooperative agreements via the Grants Officer Representative (GOR) and additional program staff. Subsequent wider distribution of reports or program information should be done in consultation with S/GAC. This will include, but is not limited to approval of sub-awardees and monitoring and evaluation design. S/GAC’s activities and responsibilities for this program include, but are not limited to, the following:

- Approval of Prime Recipient Implementation Plans. S/GAC and the Grants Officer will approve the annual budget; project monitoring and evaluation reports; annual work plans; performance indicator data reports; quarterly travel (domestic and international if needed); all other relevant outcomes/deliverables as noted in Section II; and planned and actual expenditures under the award.
- Approval of sub-awards offered to KPIF sub-awardees, including technical and capacity-strengthening plans.
- Provision of institutional guidance regarding the overall management of the KPIF sub-awardees and advice on the implementation of KPIF sub-awardees’ projects.
- Review and approval of all program publicity and other published materials.
- Approval of decisions related to special circumstances or problems throughout the duration of the program.
- Collaboration with Prime Recipients to develop risk mitigation plans to limit any unintended harms to organizations or individual key population members as a result of funded activities that may be seen locally as being inconsistent with social norms or policies. This will occur in

collaboration with PEPFAR country programs and other representatives of the U.S. government.

Dissemination of Information: The Prime Recipients will engage S/GAC in the development of all public communications (e.g., press releases, publications, etc.), internal and external, related to KPIF sub-awards. All public communications must be approved by S/GAC prior to release.

Application Submission Process: All applicant organizations must ensure that their registrations with Dun & Bradstreet (Unique Entity Identifier) and the U.S. government (in the Central Contractor Registry (CCR) or SAM.gov and in GrantSolutions) are valid. All application submissions must be made electronically via www.grants.gov or www.grantsolutions.gov. Please submit only one application through one of these systems. Both systems require registration by the applying organization. Please note the Grants.gov registration process can take 10 business days or longer, even if all registration steps are completed in a timely manner.

IMPORTANT: It is the responsibility of the applicant to ensure that it has an active registration in GrantSolutions.gov or Grants.gov and that an application has been received by GrantSolutions.gov or Grants.gov in its entirety. S/GAC bears no responsibility for applicants not being registered before the due date or for data errors resulting from transmission or conversion processes. For assistance with GrantSolutions.gov accounts and technical issues related to the system, please contact Customer Support at help@grantsolutions.gov or call 1-866-577-0771 (toll-free) or +1-202- 401-5282 (international). Customer support is available 8am – 6pm Eastern Time, Monday-Friday, except for U.S. federal holidays. Applicants submitting their applications through www.grants.gov are advised that completing all necessary registration steps for obtaining a username and password from Grants.gov can take more than two weeks. Applicants will receive a validation email from Grants.gov upon the successful submission of an application. Validation of an electronic submission via Grants.gov can take up to two business days. For assistance with Grants.gov, please call the Contact Center at 1-800-518-4726 or email support@grants.gov.

The Contact Center is available 24 hours a day, seven days a week, except U.S. federal holidays. For technical submission questions related to this NOFO, please contact kpif@state.gov.

IV. ELIGIBILITY INFORMATION

S/GAC welcomes applications from US domestic-based and foreign-based non-profit organizations; non-governmental organizations (NGOs); faith-based organizations; community-based organizations; private, public or state institutions of higher education; and for-profit organizations or businesses. S/GAC encourages organizations led by individuals representing KP communities or with long histories of promoting KP leadership to apply. **Applications will not be accepted from individuals.** Additionally, applications will not be accepted from foreign governments or affiliated organizations (i.e., parastatals).

For-profit entities should be aware that their applications may be subject to additional review following the review panel selection process and that the Department of State generally prohibits profit under its assistance awards to for-profit or commercial organizations. Profit is defined as any amount in excess of allowable direct and indirect costs. The allowability of costs incurred by commercial organizations is determined in accordance with the provisions of the U.S. Federal Acquisition Regulation (FAR) at 48 CFR 30, Cost Accounting Standards Administration, and 48 CFR 31 Contract Cost Principle and Procedures. Project income earned by the recipient must be deducted from the total project allowable cost in determining the net allowable costs on which the U.S.

federal share of costs is based.

Applicants must have, or have the capacity to develop, active partnerships with in-country partners, entities, and relevant stakeholders, including industry and NGOs, and have experience in administering successful and preferably similar projects. S/GAC desires applications from national, regional, or international organizations or networks with significant key population leadership and operational presence in the PEPFAR countries noted above.

The Department of State may choose not to fund all the Prime Recipients due to capacity issues or to ensure more appropriate geographic and programmatic oversight and management. Those Prime Recipients will be referred to UNAIDS for funding and oversight. S/GAC is committed to an anti-discrimination policy in all of its projects and activities. S/GAC welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status. S/GAC encourages applications from women- and key populations-owned and/or led businesses and organizations.

S/GAC will not consider applications that reflect any type of support for any member, affiliate, or representative of a designated terrorist organization. No entity listed on the Excluded Parties List System in the U.S. federal System for Award Management (SAM) is eligible for any assistance; please see www.sam.gov to ensure that no ineligible entity is included.

Consortia, Partnerships, Cost Sharing or Matching

Consortia are welcomed and will be considered under this NOFO, whereby different organizational strengths are combined to strengthen an application, such as an entity with strong KP-leadership and capacity strengthening capacities partnering with an organization known for strong grant-making skills. The award will be given to one Prime Recipient organization, which may then sub-contract or hire consultants.

Prime Recipients are encouraged to form innovative partnerships with private sector and other donor funds. Providing cost sharing, matching or cost participation is not an eligibility requirement for this NOFO though S/GAC does encourage such approaches. Applicants are encouraged to include third-party contributions in their proposals but applicants who do not demonstrate cost-sharing or matching approaches will not be penalized. At the sub-awardee level, KP-led organizations will also be encouraged to form innovative partnerships with private sector and other donor funds.

V. DEADLINE FOR APPLICATIONS

All applications must be submitted by 11:59pm EDT 21 October 2016. Applications submitted after 11:59 p.m. EDT will be automatically rejected by the GrantSolutions.gov system and will be technically ineligible for consideration. Begin the application process early, as this will allow time to address any technical difficulties that may arise in advance of the deadline. There will be no exceptions to this application deadline.

Issuance of this solicitation does not constitute an award commitment on the part of the government. The Department of State reserves the right to reduce, revise, or increase the amount of award(s) as deemed in the best interest of the U.S. government.

VI. GENERAL AWARD SELECTION CRITERIA

KPIF Guiding Principles for Funding Decisions:

The following are key overarching principles of the KPIF and should be incorporated and addressed in applications:

- **Comprehensive Programming:** S/GAC recognizes the need to improve the KP HIV prevention, care and treatment cascades within a framework of respect for and social justice of all persons. Applications should reflect the integration of healthcare service delivery within the context of human rights and social justice.
- **Data:** Accurate data is fundamental to KP programming. KPIF Prime Recipients and sub-awardees will work to improve KP population size estimates and assist in the collection of disaggregated quality program data in order to improve HIV prevention, care, and treatment services.
- **Evidence-based:** There is a growing body of successful, evidence-based interventions and proven implementation tools designed and implemented by KP community and civil society organizations. Prime Recipients will propose the use of these proven interventions and tools and expand these programs, thus empowering communities to collaborate with government, private sector, academia, and other partners and stakeholders to reduce the HIV burden and improve the collective response for KPs.
- **Innovative partnerships:** Prime Recipients and sub-awardees will create innovative partnerships with a variety of entities (e.g., businesses, religious leaders, traditional leaders, family members) across various sectors, public and private (e.g., legal, economic empowerment, education, law enforcement, media), to address and mitigate violence, discrimination, and stigma.
- **Fair Wage:** All people employed at or through the KPIF must be paid a fair wage based on local employment. No volunteer work will be permitted by Prime Recipients or sub-awardees.
- **Budgeting:** KPIF Prime Recipients and sub-awardees will be reimbursed for ALL costs related to their contributions to the program, including core operating costs (e.g., staff salaries, office rent, etc.).
- **Youth:** Prime Recipients are encouraged to support programs to reach younger members of key populations using evidence-based and creative strategies to deliver targeted interventions for these vulnerable sub-groups of KPs.

Applicants should note that the following criteria serve as a standard against which all applications will be evaluated. Each application will be evaluated by a review committee of Department of State and other key population and human rights experts, as deemed appropriate by S/GAC. The review committee may also comprise members from international organizations. The evaluation criteria below have been tailored to the requirements of this NOFO.

Organizational Capability and Capacities (45 points): Applicants should demonstrate the capacity to absorb and manage between \$500,000 and \$10,000,000 of funds from PEPFAR.

- *Relevant programmatic and technical experience* (20 points): Applications should reflect experience in key population programming and advocacy and demonstrate how organizational resources, capabilities, and technical experiences will enable the applicant to

achieve the grant's stated goals and objectives. Specifically, applications should demonstrate commitment to working with key populations on key population issues as well as commitment to key population leadership on program design, implementation and presence on governing bodies and staff. Organizations also should detail experiences with solicitation processes, grants management, monitoring & evaluation, organizational capacity-building, and program management support. Applicants should describe the organization's existing and prior work on themes similar to the KPIF focus areas. Applicants should also demonstrate knowledge or expertise in HIV/AIDS and key population community-led programming, particularly from grants management, monitoring & evaluation, and capacity strengthening perspectives.

- *Relevant in-country experience* (15 points): Applications should specify the organizations' operational ability in one or more KPIF countries and detail how they selected specific countries to engage and any experience they have engaging with KP programming and civil society organizations in those countries. Successful applicants will have strong pre-existing relationships with relevant key population local partners, stakeholders, and administrators and will be currently operational or have recent experience working in region-specific KPIF countries. Applicants should be able to legally work in any or all of the region-specific KPIF countries, as well as conduct all activities related to sub-awarding (e.g., due diligence, contracting, wiring of funds, monitoring and evaluation, analysis of reports, and reporting to S/GAC).
- *Key project staff* (10 points): Applications should include resumes and proposed positions for key staff highlighting education and experience relevant to this application as well as specific descriptions of past experience in KPIF countries. Plans for identifying local partners and staff members also should be elaborated. Staff members that represent key population groups and/or have prior experience working on key population issues and grants management with the U.S. government are highly desirable.

Experience in Grants Solicitation Processes, Disbursement, and Management (20 points): See Section III for specific criteria.

- *Prior experience in grants solicitation processes, disbursement, and management and/or plan to strengthen such capacity* (15 points): Applicants should provide a description of organizational capability, experience, and results addressing prior work on grants solicitation processes, disbursement, and management of funds (particularly of U.S. government funds, if applicable), and/or experience with managing small grants. This should include evidence of either the impact of that work or how lessons about what did not work will advance future work. An organization with strong fiduciary and financial management structures is desired. If such capacity is currently weak, a detailed plan to strengthen it should be included.
- *Knowledge of U.S. government funding rules and regulations* (5 points): demonstrated understanding of U.S. government rules, regulations, and policies and how they apply to sub-awardees.

Experience in Impact Monitoring & Program Evaluation of Grants (15 points): Applications should provide a sample monitoring and evaluation framework/work plan, which may include work from previous projects. Proprietary information may be redacted. This is for evaluation purposes only and does not have to relate to the subject of this program. Successful monitoring and evaluation plans should include how the organization intends to monitor contextual assumptions and progress towards indicators developed to track results that are not self-evident. KPIF Prime Recipients will be required to work with sub-awardees to develop and submit a project-specific monitoring and evaluation plan within 30 days of sub-award notification.

Organizational Capacity-Strengthening of Sub-awardees and Program Management Support (10 points): A workplan for how your organization intends to strengthen sub-awardees' organizational capacity and coordinate localized tailored mentorship and/or South-to-South exchange for sub-awardees (as needed) will be assessed for quality, innovation, and sound practices. Examples of organizational capacity strengthening may include, but are not limited to, HIV-specific technical support (e.g., outreach/clinical services; addressing structural barriers; advocacy); monitoring and evaluation support; financial management and budget planning support; strategic management support; and communications support. Applications should also demonstrate prior experience in and approaches for providing overall program support to KPIF sub-awardees. An overall understanding of and prior experience in coordinating consultants and/or partners in localized tailored capacity strengthening is highly desirable.

Cost-Effectiveness (10 points): Overhead and administrative components of the proposal, including salaries, should be kept as low as possible to maximize the amount of funding available for programming and sub-awardees.

VII. AWARD ADMINISTRATION INFORMATION

Award Notices: S/GAC will provide a separate notification to applicants on the result of their applications. Successful applicants may receive an email requesting a response to review panel conditions and recommendations (if applicable). This notification is not an authorization to begin activities and does not constitute formal approval or a funding commitment. Final approval is contingent upon the applicant successfully responding to the review panel's conditions and recommendations (if applicable), being registered in required systems, including the U.S. government's Payment Management System (PMS) unless an exemption is provided, and completing and providing any additional documents requested by the Department of State. Final approval is also contingent on Congressional notification requirements being met and final review and approval by the Department's warranted grants officer. All awards will be assessed for risk prior to their issuance.

An award agreement shall be written, signed, awarded, and administered by the grants officer. The grants officer is the government official delegated the authority by the U.S. Department of State Procurement Executive to write, award, and administer grants and cooperative agreements. The award agreement is the authorizing document and will be provided to the Recipient through GrantSolutions.

Award Period

Four years beginning January 2017 (estimated). The first six months are expected to consist of start-

up activities, followed by 3.5 years of implementation of activities.

Award Amount

Subject to the availability of funds, S/GAC expects to award several cooperative agreements (consortiums are eligible to apply but the award will be given to one Prime Recipient) between \$500,000 and \$10 million over a four-year period. A portion of the total KPIF will be used for administration and management services described under this NOFO and will be based on allowable, allocable, and reasonable project direct costs. Another portion of the KPIF will be used for indirect costs (NICRA or de minimis, where applicable) of the work described herein. The remaining funds will be re-granted to KPIF sub-awardees by the Prime Recipients for disbursement, management, and monitoring under this NOFO.

Funding Restrictions:

Funds available for this award, including those funds that will be provided as sub-awards by the Prime Recipients, must be used in a manner fully consistent with U.S. laws and regulations. The following reflect some of those laws and regulations but this NOFO does not purport to include an exhaustive list of all applicable laws and regulations. U.S. Department of State awards are subject to the terms and conditions located here:

<https://www.statebuy.state.gov/fa/Pages/TermsandConditions.aspx>

VIII. OTHER INFORMATION

Applicants should be aware that S/GAC understands that some information contained in applications may be considered sensitive or proprietary and will make appropriate efforts to protect such information. However, applicants are advised that S/GAC cannot guarantee that such information will not be disclosed, including pursuant to the Freedom of Information Act (FOIA) or other similar statutes.

Issuance of the NOFO and negotiation of applications does not constitute an award commitment on the part of the U.S. government. S/GAC reserves the right to reduce, revise, or increase proposal budgets in accordance with the needs of the project requirements and subject to the availability of funds.

IX. DISCLAIMER

Organizations that submit applications in response to this announcement acknowledge and accept all of the requirements contained herein. All submissions in response to this announcement are voluntary and do not obligate the Department of State to fund any application or application preparation costs. Renewal of an award to increase funding or extend the period of performance is at the discretion of the Department of State and will be based upon the availability of funds.

X. RESOURCES FOR APPLICANTS AND REFERENCE ON EVIDENCE-BASED INTERVENTIONS

- 2014 WHO Consolidated guidelines on HIV prevention, diagnosis, treatment and care for key populations (<http://www.who.int/hiv/pub/guidelines/keypopulations/en/>)
- Implementing Comprehensive HIV and STI Programmes with Transgender People: Practical

Guidance for Collaborative Interventions (TRANSIT)

(<http://www.undp.org/content/undp/en/home/librarypage/hiv-aids/implementing-comprehensive-hiv-and-sti-programmes-with-transgend.html>)

- Implementing Comprehensive HIV and STI Programmes with Men Who Have Sex with Men (MSMIT) (<http://www.unfpa.org/publications/implementing-comprehensive-hiv-and-sti-programmes-men-who-have-sex-men>)
- Implementing comprehensive HIV/STI Programmes with sex workers: practical approaches from collaborative interventions (SWIT) (http://www.who.int/hiv/pub/sti/sex_worker_implementation/en/)
- PEPFAR IDU Guidance 122970 (<http://www.pepfar.gov/documents/organization/144970.pdf>)
- Interventions to address HIV in prisons: Effectiveness of interventions to address HIV in prisons (http://www.who.int/hiv/pub/idu/prisons_effective/en/)

Please find additional key population resources at the following WHO web links:

- Prisons: www.who.int/hiv/topics/prisons/en/
- PWID: www.who.int/hiv/topics/idu/en/
- MSM: www.who.int/hiv/topics/msm/en/
- Transgender people: www.who.int/hiv/topics/transgender/en/
- Sex workers: www.who.int/hiv/topics/sex_work/en/

Emerging best practices:

- Local Capacity Initiative Facilitated Discussion and Capacity Assessment Tool: Facilitator's Manual: used under the PEPFAR Local Capacity Initiative to systematically assess technical assistance needs to strengthen CSO policy advocacy and organizational capacity (<http://www.healthpolicyproject.com/index.cfm?id=publications&get=pubID&pubID=528>)
- A Facilitator's Guide for Public Health and HIV Programs: Gender & Sexual Diversity Training: this curriculum was developed for PEPFAR staff and their country-level implementing partners to help country programs understand and address the needs of gender and sexual minority communities in the context of HIV programming, U.S. workplace policies on non-discrimination, and through a human rights lens. Under the PEPFAR Local Capacity Initiative, this training has been adapted for training of clinical providers at several clinics in Uganda. (<http://www.healthpolicyproject.com/index.cfm?ID=publications&get=pubID&pubID=398>)
- Community Score Cards: under the PEPFAR Local Capacity Initiative, several CSOs have implemented a community score card approach to monitor health service provision, including for key populations, and used the results of the score card to inform advocacy and dialogue with decision makers. See http://programme.aids2016.org/PAGMaterial/eposters/0_1388.pdf for activities underway in Uganda.
- The Community Action and Leadership Collaborative (CLAC) Portfolio:

<http://www.clac.cab/portfolio>

Applicants should consult other sources of information regarding effective interventions such as the research literature the CDC Compendia (<http://www.cdc.gov/hiv/research/interventionresearch/compendium/index.html>), which includes some non-U.S.-based research, and examples of effective programming from PEPFAR-supported initiatives such as LINKAGES, Key Population Implementation Science, Key Population Challenge Fund, and the Local Capacity Initiative. These have supported approaches such as incentive peer outreach and bottom-up development of advocacy networks.

Contact us

For more information on the Key Populations Investment Fund, please reach us at kpif@state.gov.