United States Department of State
Bureau of International Narcotics and Law Enforcement Affairs (INL)
Notice of Funding Opportunity (NOFO)
Revised January 30, 2017

Announcement Type:	Request for Federal Assistance Awards Applications
Public Opportunity Title:	Sahel Road Safety initiative Reintegration Program
NOFO Opportunity Number:	INL17CA0007-INLAMERegionalCVE-01092017
Catalog of Federal Domestic Assistance (CFDA) Number:	19.703 – Criminal Justice Systems
Funding Amount:	$2,000,000 U.S. Dollars
NOFO Issuance Date:	January 9, 2017
Deadline for Receipt of Questions:	March 10, 2017 5:00 PM Eastern Standard Time
Closing Date and Time for Submission of Applications:	March 20, 2017 11:59 PM Eastern Standard Time
Program Type:	INL/Office of Africa and Middle East
Grant Program:	Countering Violent Extremism
Assistance Type:	Cooperative Agreement
Eligibility Category:	U.S. not-for-profit/non-governmental organizations (NGOs) or U.S. based educational institutions subject to section 501(c)(3) of the U.S. tax code; foreign not-for-profits/non-governmental organizations (NGOs) or foreign based educational institutions; (See full eligibility criteria below in Section III)
Applicant Type:	Organizations
Award Ceiling:	$2,000,000
Award Floor:	$2,000,000
Cost Sharing Requirement:	Not required but recommended

EXECUTIVE SUMMARY

The Bureau of International Narcotics and Law Enforcement Affairs (INL) leads the Department of State's anticrime and counter-narcotics efforts. INL assistance programs help partner nations to build their capacities to extend the reach of justice under the rule of law, including respect for human rights and gender equality, and to deny safe haven to criminals who would otherwise operate with near impunity. The resources entrusted to us, enables INL to deliver technical assistance and capacity to: enhance international drug control through interdiction and supply reduction; develop civilian law enforcement capacity, regional partnerships, and information sharing; and further the administration of justice and corrections under the rule of law with respect for human rights. This mission supports **peace and security** by stabilizing and strengthening security institutions and by combating narco-trafficking and other transnational crimes such as money laundering, criminal gangs, and wildlife trafficking. It promotes **governing justly and democratically** by strengthening justice sector institutions, good governance and respect for human rights.

INL combines forces with other U.S. government and international agencies and takes a regional approach to widespread problems. INL also encourages more developed governments to take responsibility as equal partners in global efforts to support critical country and global programs that combat transnational crime, disrupt illicit trafficking, and build their capacities to extend their reach of justice under the rule of law. The Bureau's priority programs support three inter-related objectives:

- **BUILDING CRIMINAL JUSTICE SYSTEMS:** Institutionalize rule of law by supporting and assisting in capacity building of host nation justice, law enforcement, and corrections institutions, promote human rights and diversity, protect vulnerable groups, and collaborate with multilateral and international partners to establish global standards and accountability mechanisms;
- **COUNTER-NARCOTICS:** Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations, and;
- **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks in the U.S. and its allies to oppose and counter corruption; wildlife crimes; cybercrime; intellectual property rights (IPR) fraud; transnational organized crime; environmental crime; crimes that threaten civilian security; and activities using the proceeds of crime.

NOTICE OF FUNDING OPPORTUNITY

The United States Department of State, Bureau of International Narcotics and Law Enforcement Affairs, is seeking applications from qualified Non-Governmental Organizations (NGOs) and other qualified organizations based either in the United States or overseas for a Grant/Cooperative Agreement to implement a program entitled "Sahel Road Safety Initiative" The authority for this Notice of Funding Opportunity (NOFO) is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 2 CFR 200.400g, it is U.S. Department of State policy not to award profit under assistance instruments. All reasonable, allocable, and allowable expenses, however, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (2 CFR 200 for US and overseas-based non-profit organizations and universities), may be paid under the cooperative agreement. NOTE: overseas-based nonprofit organizations are legally required to comply with the 2 CFR 200.

Subject to the availability of funds, INL intends to issue an award in an amount not to exceed $2,000,000 in total funding. The U.S. Dollar amount will be funded from INL allocated funds, for an initial project period of 24 months. INL may award up to two (2) additional years contingent on INL priorities, good performance of the recipient, and funding availability. INL reserves the right to fund any or none of the applications submitted and will determine the resulting level of funding for the award.

Eligible organizations interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of project sought and the application submission requirements and evaluation process.

To be eligible for an award, the applicant must submit all required information in its application through www.grants.gov including the requirements found in any attachments to this www.grants.gov opportunity. This NOFO consists of the following Sections:

Contents

This funding opportunity is posted on www.grants.gov and may be amended. See Section IV for further details. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download the most updated version of the Adobe program to their computers in order to view and save the Adobe forms properly. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

It is the responsibility of the recipient of this NOFO document to ensure that it has been received from Grants.gov in its entirety. INL bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Any questions concerning this NOFO should be submitted in writing to Alex Snider via email at

SniderA@state.gov and Cheryl Price at PriceCH@state.gov. The deadline for submission of questions for this NOFO is March 10, 2017, 5:00pm Eastern Standard Time. Responses to questions will be made available to all potential applicants through an amendment to this NOFO and posted on www.grants.gov.

Issuance of this NOFO does not constitute an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal INL procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

SECTION I – PROGRAM DESCRIPTION

BACKGROUND

INL's hypothesis is that in Burkina Faso and Senegal citizen experience with police and gendarmerie officers on or around roads, or their absence is a major factor in citizen trust in government. Law enforcement that patrol, respond, or are responsible for service delivery on or around roads shape citizens experience through enforcing preventative road safety, traffic management, and responding to incidents (accidents, banditry, illegal traffic stops, corruption, and other criminality). Interactions (or their absence) with law enforcement around roads can be the most frequent interaction citizens have with their government and thus can shape overall perceptions of government too. This links directly to the short and long term ability of these governments to counterterrorism.

Both Senegal and Burkina Faso face huge gaps in embracing this opportunity and addressing citizen needs around roads. They also have experience with failed and poorly-communicated efforts. Road accidents by taxis, motorcycles, and other vehicles are common due to lack of knowledge and/or respect of laws, poor signage, and other causes. Fatalities and injuries are endemic and response times are slow, particularly in rural areas. In Burkina Faso in particular, motorcycle and bicycle helmets are rare among the many users, in part due to a poorly implemented and communicated helmet law passed in 2005. In both countries, accidents are more often addressed by informal security actors or nearby citizens rather than legitimate law enforcement authorities. Vigilante justice and violence is common, particularly in remote or rural areas where banditry or "couperes de routes" are common. In Senegal, the Casamance regional is a particular blind spot for the government, where civilian authorities do not use road arteries to support citizen outreach.

Instead of law enforcement playing a preventative first-responder role as accountable and competent actors to prevent and remedy traffic disputes, police and gendarmerie can use a presence on roads to extort bribes or simply accept bribes in lieu of traffic violation fines.

These interactions appear to shape public perceptions of police integrity and effectiveness. Perhaps most importantly, law enforcement entities inadequately communicate, brand, promote dialogue, and adapt their efforts to the public.

This challenge is complex, involving resilient political economies, enduring historical contexts, resource limitations, vast territory with little government presence, and other security challenges. Perhaps most complex are the behavioral determinants of law enforcement and citizens alike, and the mercurial and dynamic nature of trust. Tangible improvement in performance are essential but of little value if not accompanied by communications efforts to rebrand and reframe law enforcements efforts internally (within law enforcement agencies) and publicly to citizens.

Through a focus on road safety and corruption facing road users, Senegal and Burkina Faso could work to improve public trust by (1) Improving service delivery related to road safety, including prevention and response and (2) Reducing traffic corruption and abuse of power that has a negative impact on citizen trust in government and (3) Successfully marketing to and involving citizens and civil society groups in any new initiatives. Improved communication and messaging is a crosscutting theme in all approaches. The combined effect of working in these areas is to motivate law enforcement personnel and communities and promote transparency, accountability, dialogue, and performance improvements. In turn this will reduce a key driver of violent extremism, distrust and poor government service delivery. INL also believes that these two countries stand to learn much from each other as they strive to address this vital common issue, and thus that creative and thoughtful exchange and peer-support efforts would support reform within each country.

Civil society is engaged on these questions, and could be vital partners in helping acquire a deeper understanding on the challenges and opportunities. A list of local organizations working this field can be provided to the selected recipient, once an award is executed.

As part of Trans-Sahara Counter-terrorism Partnership (TSCTP), INL engages with the security sector in Burkina Faso and Senegal. This includes engagement on anticorruption. This program assists the governments of Burkina Faso, and Senegal to improve the performance and accountability of security services.

The Trans-Sahara Counter-terrorism Partnership (TSCTP) is a multi-year, interagency, and regional initiative, overseen by the Department of State, to strengthen partner countries' capabilities to contain the spread of and counter the threat posed by violent extremist groups. TSCTP partner nations are: Algeria, Burkina Faso, Cameroon, Chad, Mali, Mauritania, Morocco, Niger, Nigeria, Senegal, and Tunisia. INL's work under TSCTP focuses on increasing the professionalism, responsiveness, and accountability of criminal justice sector institutions in the TSCTP countries including police, gendarmerie, justice, and corrections services. This includes helping these institutions to provide critical citizen security and justice services, uphold human rights and the rule of law, and prevent and respond to terrorism-related incidents. INL's TSCTP funds are used in the areas of law enforcement, corrections, rule of law, and border security to provide training, technical assistance, and equipment for programs including forensic development, border control, prison reform, judicial training, and anti-money laundering and countering terrorist financing to confront the challenges posed by terrorist organizations in the region. INL focuses on regional approaches, including initiatives to enhance joint problem solving and collaboration and share best practices.

PROJECT PURPOSE/DESCRIPTION

The purpose of the Sahel Road Safety Initiative is to help Senegalese and Burkinabe law enforcement use road safety as a tool to improve the social contract with their citizens. **Road safety is defined as prevention, response, and public engagement/advocacy used to reduce traffic fatalities and criminality on/around roads, including banditry and corruption.**

Given the context, INL believes that progress on changing perceptions will require thoughtful analysis, close engagement with host country and citizens alike and an adaptive, iterative approach to hone hypotheses, respond to and anchor ideas in local actors, and identify and capitalize on emerging opportunities and navigate constraints. This project will engage on the policy and leadership level as well as technical training and equipment (vehicles, uniforms, etc.) to improve police skills and knowledge relating to road safety, patrol, and corruption. It will involve citizens and civil society throughout. And it will involve public communication, marketing and branding throughout (including financing such engagement). Above all, because the focus is perceptions, it will ensure that the government and civil society actors are in the lead. Given the complexity, the approach will include creative efforts to reframe the relationship between citizens and law enforcement that uses relevant lessons from behavioral economics, social psychology, and behavioral change models. Its implementation plan will also take into account the lessons drawn from complexity/systems theory, including the need to learn, iterate, and adapt throughout the project. INL will support the recipient with as much flexibility as possible to identify what will truly make progress towards the project goal.

PROJECT GOALS

The project goal is to create or make measurable improvement in public perception of police integrity and effectiveness in Burkina Faso and Senegal. This will be achieved through a combination of concrete progress in improving law enforcement prevention and response and improving communications approaches

The project will consist of three phases:

1. The implementer will conduct a detailed analysis of the political economy of road safety and related law enforcement context in Burkina Faso and Senegal.

2. The implementer will design a program for targeted assistance focusing on improving police perceptions through road safety efforts.

3. Following INL approval of the program design and budget, the implementer will implement the program, including necessary adaptation along the way.

PROJECT OBJECTIVES

Objective 1: Produce a detailed assessment of existing law enforcement roles, initiatives, performance, and political economic environment in Burkina Faso and Senegal.

During the first phase of the program, the implementer will conduct a detailed assessment of law enforcement roles, initiatives, and the political economic environment in Burkina Faso and Senegal. The assessment may also include an examination of patrol police reform, and model road safety initiatives in other countries. It is highly recommended that applications conduct this phase in partnership with host government law enforcement actors and local organizations who study/advocate in this area (see background for examples). For each country, the analysis should include:

1. Examine the road safety performance, initiatives and relevant context. This should analyze security concerns within this problem set that most impact public trust. It should analyze successes and challenges of past/ongoing initiatives (and map key contextual political economy factors affecting performance and accountability. Given the large subject matter, prioritization will be critical.
2. Identification and analysis opportunities and challenges for implementing road safety initiatives. This includes policies and procedures, existing physical and human resources, including equipment, vehicles, and training. For each country, the analysis should identify specific objectives and principles to improve in road safety and perceptions thereof, including improved service, accountability, incentive structures, and officer morale.
3. Identify potential partnerships with local NGOs, other government agencies, the private sector, and other donors operating in this space that could be leveraged to build coalitions, anchor programs in existing efforts/relationships, and maximize road safety gains with an emphasis on public confidence building aspect of any project.
4. This phase may include a baseline survey that could be used for monitoring/adapting/evaluation purposes, and/or focus group or workshops including community and/or police representatives to diagnose opportunities for engagement.

Objective 2: The implementer will design a program focused on enhancing citizen trust in law enforcement by improving service delivery related to road safety, and reducing law enforcement corruption in Burkina Faso and Senegal.

During the second phase of the program, the implementer will design a program that seeks to improve road safety and reduces law enforcement abuse of power. The implementer will submit to INL for approval a program design, including budget, based on the assessments. The type of intervention should be driven by phase 1 and should be designed in an iterative, adaptive, flexible way. The proposed program must respond to the overall project goal and the findings of the political economy and contextual analysis. The design should clearly state the theory of change behind the intervention, including articulating assumptions, feasibility, and, most importantly, criteria for making decisions, adapting and adjusting throughout the project.

The implementer shall outline feasible and change-based goal and objectives and corresponding activities based on the finalized assessment. Goals, objectives, and activities may vary in each country, based on the needs identified in the assessment. Goals and Objectives should be SMART – (Specific, Measurable, Achievable, Realistic, Timely) and shall include appropriate metrics to monitor and evaluate performance. **The applicant need not identify even aspect of the program but where it insisted on flexibility, the application must propose a process and criteria for making decisions and prioritizing interventions throughout the project.**

The implementer shall use its expertise and/or additional consultant support to include insights from systems thinking, complexity theory in program design. In particular, the program should be designed with feedback loops and an iterative process that tests assumptions, focused on learning throughout the project, and anticipates and allows for failure throughout the course of a program. For an example of this thinking s: https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/833.pdf or http://carnegieendowment.org/2015/12/02/in-development-work-plan-for-sailboats-not-trains-pub-62177.

The implementer shall also use its expertise and/or additional consultant support to include insights from human behavior and behavioral change. In particular, the program should be designed with a human-centric approach that addresses the true determinants of human behavior, rather than standard rational actor models where providing training is assumed to be sufficient to change behavior. (http://www.worldbank.org/en/publication/wdr2015)

INL wishes to give the implementer the flexibility to propose and defend goals, objectives, and activities based off its expertise, and the first stage of the project. However, pending concurrence from INL, the implementer's proposed program must include the following three activities :

A. **Mentorship of senior and mid-level law enforcement managers in developing road safety initiatives, including data and statistics collection or communications/marketing/branding strategies**. Programs should be designed to meet the individual needs and opportunities of each country, as outlined in the assessment. Programs should continually engage senior and mid-level officials on improving national policies, procedures, and implementation structure that will improve actual road safety performance concurrently with communications tools to collectively shape perceptions. This includes communications/marketing/branding approaches.

B. **Develop at least two road safety initiatives in both Burkina Faso and Senegal that includes local partners – including other government agencies, NGOs, and/or the private sector.**

   The implementer will work directly with host government and civil society to develop and implement program to improve police perceptions via the road safety lens. Use of multiple approaches and methodical quantitative and qualitative testing/experimentation is encouraged.

   Exact activities for accomplishing this sub-objective will be determined during the program design phase, after the implementer has finalized its assessment. Activities may vary in each country, based on the needs identified in the assessment. This may include multiple pilot projects in each country, with an approach that only continues projects that are showing the most promise.

   Potential activities may include strategic guidance/advising on deployment of traffic officers; logistics and resource management tools to improve vehicle fleet performance/maintenance; training activities meant to improve capability and quality of intervention of police/gendarmerie units; revision of policies and procedures; communications/public relations campaigns; marketing/branding campaigns relating to slogans, uniforms, logo, etc.; enhanced oversight or public reporting; advocacy or public education campaigns including school resource officer programs; incentives/motivational tools, human resource; equipment/vehicle/signage provision.

   Since the goal of this project is to improve public confidence, all initiatives shall be led and/or implemented either jointly or entirely by host government s and/or civil society. Initiatives shall also fully account for technical and financial sustainability (e.g. vehicle, maintenance, fuel, etc.) and provide advice and structure for local partners to scale/repeat.

C. **Develop at least one regional collaboration initiative to ensure Burkina Faso and Senegal leverage each other's experience and peer-support through innovative regional efforts, including workshops, peer exchange, or other approach.**

INL anticipates that the implementer will implement road safety programs specifically tailored to each country based on their individual assessments **and** help facilitate peer support, joint learning, and collaboration between the countries through creative approaches, including workshops, mentorship exchanges, shadowing, etc. Applicants should propose ideas for how to improve the results within each country *through* regional collaboration. Potential approaches include facilitated workshops, short or long term exchanges, friendly competition, peer support, joint scenarios/simulations, and other creative approaches.

Objective 3: Following INL approval of the program design and budget, the implementer will implement the program.

This phase will implement the program defined during the Objective 2 phase. INL will monitor and evaluate against the specific goals, objectives, activities, and metrics jointly agreed upon during the Objective 2 phase. Various criteria and processes for adaptation should be specified in Objective 2. INL does not see this as a rigid blueprint. INL will encourage the implementer to work closely with INL and adapt the project to maximize the potential impact, while keeping in mind the overall project goal and hypothesis.

CROSS-CUTTING AND ADDITIONAL ACTIVITIES

Program Expansion

In the event of a successful program, INL will consider expanding the program to other areas or countries in the region, subject to availability of funding. Applicants may include in their proposal a brief section outlining how additional funds could potentially be used to expand work into further activities or additional countries in future years. Applicants are strongly encouraged to demonstrate how their project might leverage funding through other organizations.

DESIRED RESULTS AND ILLUSTRATIVE INDICATORS

The entire project is envisioned to last approximately 24 months. The first two phases will last approximately eight (8) months in total and the final phase approximately 16 months. In the third phase of the program (implementation), INL will approve the program design and the implementer will draft a work plan, M&E plan, and implement the program. The work plan should detail program implementation for the final 12 months of the initial award and provide broad plans and targets for the potential remaining years. The implementer will be responsible for developing a detailed M&E plan that identifies the mechanisms, tools, and resources needed to assess progress towards objectives. The implementer will be responsible for submitting regular M&E reports, as specified in the M&E plan.

The recipient will develop a project-level Performance Monitoring plan (PMP) with annual and end-of-project targets and results anticipated for key performance indicators. The following table shows indicators that could be measured. The recipient will be responsible for monitoring and reporting on these – as well as other indicators, as mutually determined by INL and the recipient – during and after the project. In addition, INL/AME will regularly monitor the project's performance to assess whether project activities are on track and targets are being achieved.

Process indicator examples are provided below. Given the complex environment, INL prioritizes an approach focused on learning and adaptation. Application shall provide process indicators, related to efforts to understand context and adjust program plans.

***Example* Process Indicators**	***Illustrative targets:***
Number and variety of international and local experts consulted	TBD
Development and maintenance of political economy map of traffic-related corruption	TBD
Frequency of meetings with key stakeholders to adjust assumptions	TBD
Frequency of revisions to program plan	TBD

Outcome indicator examples for the project are provided below. The recipient is expected to identify targets for these indicators based on what it can reasonably achieve within the performance period of the project, and based on the expected overall project results described above.

***Example* Outcome Indicators**	***Illustrative targets:***
Decrease in vigilante justice efforts related to traffic accidents	TBD
Reduction in fatalities on roads	TBD
Reduction in arbitrary traffic stops	TBD
Improvement in public perception of law enforcement's services and corruption	TBD
Increase in planned meetings among police and communities	TBD
Increase in helmet usage due to law enforcement advocacy	TBD

Output indicator examples are provided below. The recipient should review these and either confirm the illustrative targets or propose alternative targets, as appropriate.

***Example* Output Indicators**	***Illustrative targets:***
Number of individuals trained.	TBD
Number of initiatives piloted	TBD
Number of marketing campaigns to reduce traffic corruption	TBD
Number of forums organized with the police and communities	TBD

The recipient should propose a program implementation framework that focuses on additional outputs, indicators, and/or targets as appropriate. Outcome and output indicators may be both quantitative and qualitative. The recipient will be required to collect baseline data for all the PMP indicators during the first year of the project. In addition, certain terms included in the outcomes and indicators will need to be defined at the very beginning of the project so that it is possible to measure the change during and at the end of the project. Examples of such are "capacity", "spread effect", etc. Baseline information will be critical for both monitoring and evaluation of project progress and results.

[END OF SECTION I]

SECTION II – FEDERAL AWARD INFORMATION

INL expects to award one cooperative agreement based on this NOFO. The anticipated total federal funding amount is $2,000,000. The period of performance is 24 months from time of award. INL may extend the award up to two (2) additional years pending INL priorities, good performance of the recipient, and funding availability.

The U.S. government may issue one or more awards resulting from this NOFO to the responsible applicant(s) whose application(s) conforming to this NOFO are the most responsive to the objectives set forth in this NOFO. The U.S. government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

The U.S. government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. The U.S. government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

[END OF SECTION II]

SECTION III – ELIGIBLITY INFORMATION

(1) Eligible Entities: Applicants who are eligible to apply include:

- Applicants that qualify to receive U.S. grants (such as **U.S. not-for-profit/non-governmental organizations (NGOs) or U.S. based educational institutions subject to section 501(c)(3) of the U.S. tax code**; **foreign not-for-profits/non-governmental organizations (NGOs) or foreign based educational institutions**, with the ability to develop and successfully implement a project in Burkina Faso and Senegal and meet INL's reporting requirements. Organizations must also be able to demonstrate current (or pending) country registration, if required by the country of project implementation.

  AND

- Must have demonstrated experience implementing similar corrections or capacity building programs, preferably in the Maghreb and/or Sahel, or in a similarly challenging program environment. INL reserves the right to request additional background information on organizations that do not have previous experience administering similar programs and/or federal grant awards.
- Applicants must have the ability to conduct work in French and English. The applicant's staff should be proficient in English in order to fulfill reporting requirements.
- Applicants must have existing, or the capacity to develop, active partnerships with stakeholders in Burkina Faso and Senegal in order to successfully carry out the proposed program.
- Organizations may form a consortium and submit a combined proposal. However, one organization should be designated as the lead applicant.
- Applicants must be able to respond to the NOFO and be able to mobilize in a short period of time.

PLEASE NOTE: Public International Organizations (PIOs) and For-Profit Organizations are excluded from applying to this grant announcement.

To be eligible for a cooperative agreement award, in addition to other conditions of this NOFO, organizations must have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits 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 these Executive Orders and laws. This provision must be included in any sub-awards issued under this grant award.

(2) INL encourages applications from potential new partners.

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS

INL urges prospective applicants and sub-recipients to immediately confirm their organization has a current Unique Entity Identifier (Dun and Bradstreet (DUNS) number), NCAGE number, as well as a current Central Contractor Registration via www.sam.gov. Additionally, please ensure that registration in the following systems is in a *current/active status* prior to your organization's and sub-organization's application submission.

Unique Entity Identifier (DUNS Number)

All organizations (foreign and domestic) must obtain a DUNS number. **US-based organizations** may request a DUNS number by calling 1-866-705-5711; the DUNS number is usually provided immediately.

Foreign organizations that do not have a Unique Entity Identifier (DUNS number) will need to go to the Dun & Bradstreet website at http://fedgov.dnb.com/webform/pages/CCRSearch.jsp to obtain the number. **The webform requests generally takes 1-2 business days.*

CAGE/NCAGE Registration

For US-based organizations, a CAGE code will automatically be assigned to your entity once you submit your entity's registration in SAM.gov and the TIN validation has been returned.

NCAGE Codes are required for all foreign entities prior to starting a SAM registration. ***PLEASE NOTE: The organization's name, address, and email information used to request your NCAGE Code must match what you used to request your Unique Entity Identifier (DUNS Number); please note there is a character limit in this system and the address MUST match the address listed in the DUNS system.)*** Otherwise, you will receive error messages when applying for the NCAGE code. You can submit your request for an NCAGE Code using the NCAGE Request Tool at https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx. Detailed instructions are posted at that site. For additional information, please call 1-269-961-4623 or send an email message to NCAGE@dlis.dla.mil.

SAM.gov Registration

SAM.gov registration is required of all INL applicants prior to registering with Grants.gov. If your organization was previously registered in the Central Contractor Registry (CCR)**,** you must still create a new Individual User Account in SAM prior to receiving a future federal grant. Applicant organizations can obtain assistance for SAM.gov registration by using the following link: https://www.fsd.gov or by calling **1-866-606-8220** (U.S. calls)/or **1-324-206-7828** (international calls). ***PLEASE NOTE: The organization's name, address, and email information used to request your organization's Unique Entity Identifier (DUNS number) and the NCAGE Code must match what is used to request the SAM.gov validation***. Otherwise, you will receive error messages when registering in SAM.gov.

US-based organizations that already have a TIN (taxpayer identification number), your SAM registration will take 3-5 business days to process. US-based organizations applying for an EIN (employer identification number), please allow up to 2 weeks.

Foreign organizations ***must*** have a DUNS number and an NCAGE code prior to completing the SAM.gov registration process.

Please note: If your organization is registered with SAM.gov and your status is NOT listed as ACTIVE, you will need to update your registration prior to submitting an application through grants.gov. SAM.gov requires ALL organizations (foreign and domestic – including all potential sub grantees) to register on an ANNUAL basis.

Grants.gov Registration

In order to apply for a grant, your organization must complete the Grants.gov registration process. Registration can take between three-five business days or as long as two weeks if all steps are not completed in a timely manner. Please log into http://www.grants.gov/web/grants/applicants/organization-registration.html to obtain complete instructions on the registration process.

Foreign Registrants: Anyone residing and doing business outside of the United States is still required to complete the five steps of the Grants.gov registration process, in addition to fulfilling supplementary requirements for doing business with the United States government. Please ensure that you have obtained a DUNS number, an NCAGE code, and an "ACTIVE" status in SAM.gov prior to registering in Grants.gov.

TECHNICAL FORMAT REQUIREMENTS

For all application documents, please ensure:

A. All pages are numbered, including budgets and attachments,
B. All documents are formatted to 8 ½ x 11 paper, and
C. All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with a minimum of 1-inch margins.
D. All documents must be submitted in English. **(*Please note: Per Department policy, English is the official and controlling language for all submitted application/award documents.)***

Complete applications must include the following for proposal submissions:

1. **Completed and signed SF-424, SF-424A, and SF424B**, submitted via grants.gov, as well as, if applicable (*Please see Tab D for instructions for completion of Standard Forms 424, 424A, and 424B.*)
2. A copy of your organization's **most recent audit (as required per 2 CFR 200.500 – Subpart F)**. If an audit can not be provided, an explanation must be submitted with the proposal submission.
3. **Cover Page** that sets forth proposal title, name of lead applicant, names of any other participating organizations, name and number of the Target Themes to which the proposal responds, and requested funding amount in U.S. dollars (see the award amount ceiling as stated in the NOFO)

4. **Table of Contents** (not to exceed one [1] page in Microsoft Word) that includes a page-numbered contents page, including any attachments.
5. **Executive Summary** (not to exceed two [2] pages in Microsoft Word) that includes:
   a) the target country(ies),
   b) name and contact information for the project's main point of contact,
   c) a statement of work or synopsis of the program, including a concise breakdown of the project's objectives, activities, and expected results,
   d) the total amount of funding requested and program length, and
   e) a brief statement on how the project is innovative, sustainable, and will have a demonstrated impact.
6. **Proposal Narrative** (not to exceed fifteen [15] pages in Microsoft Word). Please note the page limit ***does not*** include the Table of Contents, Executive Summary, Attachments, Detailed Budget, Budget Narrative, NICRA, or other required documents noted in items #7 - #16 below).
7. **Summary and Detailed Line-Item Budget** (preferably in Microsoft Excel) that includes three [3] columns including the request to INL, any cost sharing contribution, and total budget (see below for more information on budget format). A summary budget should also be included using the OMB approved budget categories (see SF-424 as a sample). Costs must be in U.S. dollars. (PLEASE NOTE: A detailed line-item and summary budget is required for all potential sub-recipients receiving more than $25,000.)
8. **Budget Narrative** (preferably in Microsoft Word) that includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, INL recommends applicants order the budget narrative as presented in the detailed budget. Personnel costs should include a clarification of the roles and responsibilities of key staff and percentage of time devoted to the project. The budget narrative should communicate to INL any information that might not be readily apparent in the budget, not simply repeat with words what is stated numerically in the budget. (PLEASE NOTE: A budget narrative is required for all potential sub-recipients listed in the detailed budget and receiving more than $25,000.)
9. **NICRA:** If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, your latest NICRA must be included as a .pdf file. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding and therefore does not count against the submission page limitations, as described above. If your proposal involves subgrants to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file (see "INDIRECT COST RATE" below for more information on indirect cost rates).
   If your organization does NOT have a negotiated indirect cost rate agreement (NICRA) please specify if your organization elects to charge the de minimis rate of 10% of the modified total direct costs. The de minimis rate must be included in the detailed budget and an explanation must be provided in the budget narrative.
10. **Monitoring and Evaluation Plan and Logic Model;** (see **TAB B** below for more information on this section).
11. **Roles and responsibilities of key program personnel with short bios** that highlight relevant professional experience. This relates to the organization's capacity. Given the limited space, CVs are not recommended for submission.
12. **Timeline of the overall proposal** - Components should include activities, evaluation efforts, and program closeout

13. **A list of previous and/or current federal assistance awards received**; please include the awarding agency, point of contact, name of the project, start and end dates, and amount of the award.
14. **Risk Analysis**: Please provide the required risk analysis information as noted in **TAB B** of this NOFO. (Template provided by INL.)
15. **INL Risk Assessment Form –** template provided by INL that reviews the organization's financial capacity and infrastructure.
16. **Attachments** (not to exceed **three (3)** pages total, preferably in Microsoft Word) that include the following in order:
    a) ***Additional optional attachments***. Attachments may include further timeline information, letters of support, memoranda of understanding (MOU)/agreement, etc. For applicants with a large number of letters/MOUs, it may be useful to provide a list of the organizations or government agencies that support the program rather than the actual documentation.

Note: INL retains the right to request additional documentation for those items not included on this form.

ADDITIONAL INFORMATION

OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS

Organizations should be familiar with 2 CFR 200 on cost accounting principles. For a copy of the OMB circular cited, please contact Government Publications or download from [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl.](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl) Overseas-based nonprofit organizations are legally required to comply with 2 CFR 200.

AUDITS

The recipient's proposal should include the cost of an audit that:
1) Complies with the requirements of 2 CFR 200 Subpart F "Audit Requirements;"
2) Complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, "Audits of Not-for-Profit Organizations Receiving Federal Awards;"
3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, "Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents," where applicable. When the U.S. Department of State is the largest direct source of Federal financial assistance (i.e., the cognizant Federal Agency) and indirect costs are charged to Federal grants, a supplemental schedule of indirect cost computation is required;
4) A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200 subpart F. *The audit costs shall be identified by 2 CFR 200.435.*

INDIRECT COST-RATE

An organization with a negotiated indirect cost rate agreement (NICRA) negotiated with a cognizant federal government agency other than the U.S. Department of State must include a copy of the cost-rate agreement. Applicants should indicate in the proposal budget how the rate is applied and if any of the rate will be cost-shared. Per 2 CFR 200.414. any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in 2 CFR 200.403, factors affecting allowability of costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time.

[END OF SECTION IV]

TAB A: PROPOSAL GUIDELINES

Proposals should include the following components:

- Introduction and Problem Statement
- Planned Analysis
- Potential Sample Activities
- Potential Indicators

Problem Statement and Rationale: Describe the problem and how the project will achieve or contribute to achieving a sustainable solution and a measurable outcome. The applicant should explain the extent of existing assistance within the particular geographic area, and how the proposed intervention may complement (or differ from) other similar interventions. The implementer should also explain, as necessary, the particular experience and qualifications they bring to the project. The rationale should also reflect understanding of the priorities and policies of the bureau/post or program with which this agreement is associated.

Planned Analysis: This Notice of Funding Opportunity assumes that the knowledge needed to develop the program design will require rigorous research and analysis that combines outside technical expertise with deep contextual knowledge. As such, articulating a complete program design is beyond the scope of applications for this Cooperative Agreement. Instead, INL wants implementers to have the flexibility to think creatively and innovatively as they develop and implement these programs in collaboration with INL. Thus, proposals should describe the processes to:

- Understand road safety, anti-corruption, and public perception towards law enforcement in Burkina Faso and Senegal;
- Develop the program design;
- Monitor the program; and
- Evaluate progress toward results.

Potential Sample Activities and Indicators: Describe the potential activities, and relevant stakeholders for implementation. The implementer should highlight key stakeholders and their expected role in the project, along with any contingencies. The implementer should list assumptions that are dependent on the ultimate success of the project. This could include elements like geographic location, coordination efforts with other international organizations, or political will from host governments, private sector, and NGOs. As appropriate, limited contingency possibilities should be included in the proposal, in case the initial planning assumptions are not met. Example of a planned activity and contingency:

Planned Activity	**Contingency**
Energy efficiency workshops in collaboration with the government of Mexico and other representatives from the Latin America region, focused on raising awareness of energy efficiency standards.	*If government of Mexico doesn't engage at the expected level, project team will look to other regional stakeholders, such as the OAS, to assist in convening key stakeholders.*

Because the program design will be finalized after the analysis stage of the program is complete, it will not be possible to describe in full detail all program activities and indicators. However, the proposal should include a discussion of potential activities and indicators and, importantly, the criteria for deciding on future activities and indicators. In the proposal, there should be a clearly defined link between each of the following elements as delineated:

Problem Statement → Planned Activities/Inputs → Process Indicators → Output Indicators → Outcome Indicators → Impact

Process Indicators measure the activity that has been completed. Please delineate the specific activities to be conducted, such as workshops, roundtables, trainings, forums, exchanges, policy dialogues, etc. All indicators must include targets. Example of a process indicator:

Process Indicator	*50 women trained in energy efficiency standards*

Output Indicators, otherwise known as deliverables associated with the agreement, should be included. Unlike process indicators, outputs are what is produced, and are often tangible. At this level, it is the measurement of ability, knowledge, skills, or access. All indicators must include targets. Example of an output indicator involving the same participants:

Output Indicator	*80 percent of participants demonstrate at least 75 percent cognizance of efficiency standards*

Outcome Indicators measure the change in system or behavior or practice. Expected outcomes are the results that come from a series of activities that are necessary to achieve impact. All indicators must include targets. Example of an outcome indicator:

Outcome Indicator	*30 percent of efficiency standards being implemented in a participant's country as a result of participant's participation.*

All indicators **must** include measurable, numerical targets, which should serve as the foundation for monitoring and evaluation efforts. Ultimately, proposed activities and achievement of indicator targets will lead to impact.

TAB B: PROGRAM MONITORING AND EVALUATION PLAN and RISK ANALYSIS

INL will work with recipient organizations to implement the appropriate monitoring and evaluation plan that meets both the needs of the bureau and the implementing partner. Incorporating a well-designed monitoring and evaluation component into a project is one of the most efficient methods of documenting the progress and potential success of a program. Successful monitoring and evaluation depend on the following:

- Setting objectives that are specific, measurable, attainable, results-focused, and placed in a reasonable time frame (SMART);
- Linking project activities to stated objectives;
- Developing key performance indicators that measure realistic progress towards the objectives.

INL expects implementing organizations to track participants or partners as appropriate and be able to respond to key evaluation questions, including satisfaction with the program/training, information learned as a result of the program/training, changes in attitude and behavior as a result of the program, and effects of the program on institutions in which participants work or partner with. Applicants should include the monitoring and evaluation process in their timeline.

Recipients will be required to provide reports with an analysis and summary of their findings, both quantitative and qualitative, in their regular quarterly progress reports to INL.

The monitoring and evaluation plan should include, at a minimum, the following elements:

- A results “Logic Model” planning document (see sample Logic Model template attached as a sample document)
- Indicators, as described in Tab A, as well as details on how each indicator will be measured, frequency of the measurements, units of measure, etc. Provide indicators at the output and outcome levels. Monitoring and evaluation plans should include a chart component that clearly delineates indicators and targets. <u>All indicators must include measurable, numerical targets.</u>
- Establish, where possible, performance baseline data and expected performance targets for each indicator/outcome. In some cases, the baseline may be zero.
- Describe monitoring and evaluation tools, such as rapid assessment surveys, site visits, key stakeholder interviews, etc., that will be used.
- Plans should describe how the project’s impact and effectiveness will be monitored and evaluated throughout the project.

INL has included a sample Monitoring and Evaluation template as an attachment to the NOFO.

RISK ANALYSIS OF THE PROPOSED PROGRAM

Risks are unavoidable – all programs inherently contain both internal and external risks. However, with proper identification and management, risks can be prepared for, minimized or mitigated. The purpose of a risk analysis is to identify the internal and external risks associated with the proposed program in the application, rate the likelihood of the risks, rate the potential impact of the risks on the program, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document. INL defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a program and should result in revisions to risk analysis documents and processes as necessary. Applicants should include all assumptions and external factors identified in the logic model in the risk analysis. Applicants should rate the likelihood of a risk and potential impact of the risk as “High,” “Medium,” or “Low.”

TAB C: BUDGET GUIDELINES

Complete budgets for recipients and sub-recipients will provide a detailed line-item budget outlining specific cost requirements for proposed activities. A minimum of three columns should be used to delineate the bureau funding request, cost-share by applicant, and total project funding. Complete applications will include a budget narrative to clarify and justify individual line-items (i.e. calculations of how the costs were derived per month or year, their necessity, and overall contribution to the program's cost-effectiveness).

The three-column proposal line item budget should include the following components, in the suggested format below:

		INL Request	Cost Share	Total
A. PERSONNEL				
a) Primarily Headquarters-Based Personnel				
-H.Q.-based project -dedicated staff salary (X months) -H.Q.-based administrative staff salary (X months)	X% of $X/yr X% of $X/yr			
b) Primarily Field-Based Personnel				
-Field-based Country Director salary (x months or year) -Field-based Program Assistant salary (x months or year)	X% of $X/yr X% of $X/yr			
Subtotal Personnel				
B. FRINGE BENEFITS				
a) Primarily H.Q.-Based Fringe Benefits	fringe=X% salary			
-H.Q.-based project -dedicated staff fringe (X months) -H.Q.-based administrative staff fringe(X months)	X% fringe X% fringe			
b) Primarily Field-Based Fringe Benefits	fringe=X% salary			
-Field-based Country Director fringe (x months or year) -Field-based Program Assistant fringe (x months or year)	X% fringe X% fringe			
Subtotal Fringe Benefits				
C. TRAVEL				
a) Monitoring Travel				
-Monitoring Trip: H.Q. to field (X) -Per diem (X days)	$X/RT flight $X/day			
b) Field Travel				
<u>Activity 1: Workshop</u> -Staff Travel (# staff) -Staff Per Diem (X days) -Participant Travel (# participants)	 $X/RT flight/# staff $X/day/# day/# staff $X/trip/# pax			
-Participant Per Diem (X days)	$X/day/# day/# pax			
<u>Activity 2: Town Hall Meeting</u> -Staff Travel (# staff) -Staff Per Diem (X days) -Participant Travel (# participants) -Participant Per Diem (X days)	 $X/RT flight/# staff $X/day/# day/# staff $X/trip/# pax $X/day/# day/# pax			
Subtotal Travel				
D. EQUIPMENT				
a) Primarily H.Q.-Based Equipment (if applicable)				
-H.Q.-equipment (if applicable)	$X/unit			

d) Primarily Field-Based Equipment				
-Field-equipment	$X/unit			
Subtotal Equipment				
E. SUPPLIES				
a) Primarily H.Q.-Based Supplies (if applicable)				
-Printing and Photocopying (X months)	X% of $X/yr			
b) Primarily Field-Based Supplies				
-Markers and dry erase board -Telephone (X months) -Office Supplies (X months)	$X/set X% of $X/yr X% of $X/yr			
Subtotal Supplies				
F. CONTRACTUAL				
a) Subgrants				
-Local Subgrantees (X subgrants)	$X/unit			
b) Consultant Fees				
-Media Specialist/Honoraria (X days/hours) -Independent M & E specialist -Translation Fees (X pages)	$X/consult $X/unit $X/page			
Subtotal Contractual				
G. CONSTRUCTION	**N/A**			
H. OTHER				
a) Other Direct Costs				
-Field Office Rent (X months)	X% of $X/mo			
Subtotal Other				
I. TOTAL DIRECT CHARGES (Sum of A-H Subtotals)				
J. INDIRECT CHARGES				
a) Indirect Costs/NICRA (X% of costs)				
Subtotal Indirect Charges				
K. TOTAL COSTS (Sum I-J)				

Note: This budget is designed to serve as an example of the format for complete budget submissions and is NOT exhaustive. Individual line items included in each applicant's budget should reflect specific program activities. (pax = participants)

Before grants are awarded, INL reserves the right to reduce, revise, or increase proposal budgets in accordance with the needs of the INL program and availability of funds.

As mentioned above, the detailed budget must also include an accompanying budget narrative document for the recipient and the sub-recipient that explains and justifies each line item, in the suggested format below:

LINE-ITEM BUDGET NARRATIVE –

A. Personnel – Identify staffing requirements by each position title and brief description of duties. For clarity, please list the annual salary of each position, percentage of time and number of months devoted to the project. (e.g., Administrative Director: $30,000/year x 25% x 8.5 months; calculation: $30,000/12 = $2,500 x 25% x 8.5 months = $5,312.).

B. Fringe Benefits - State benefit costs separately from salary costs and explain how benefits are computed for each category of employee - specify type and rate. Fringe benefit application must be consistent with organization's written policy.

C. Travel - Staff and any participant travel (Note: Staff refers to grantee staff only, and not sub-grantee staff or contractors):

1) international and/or domestic airfare - Please indicate origin and destination (country/city), number of travelers and unit cost per round trip

NOTE: All travel must be booked with economy class fares only. Applicants must explain differences in fares among travelers on the same routes. Note that all travel, where applicable, must comply with the Fly America Act. For more information see **http://www.gsa.gov/portal/content/103191**.

2) in-country travel - Please indicate origin and destination (city), type of transportation, number of travelers and unit cost per traveler per trip.

3) per diem/maintenance: includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: http:/www.policyworks.gov/. Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.

NOTE: Per diem rates must be prorated and/or removed if applicant will pay for refreshments and/or meals for participants during a workshop/conference.

D. Equipment – please provide justification for any equipment purchase/rental, defined as tangible personal property having a useful life of more than one year and an acquisition cost of $5000 or more.

E. Supplies - list items separately using unit costs (and the percentage of each unit cost being charged to the grant) for photocopying, postage, telephone/fax, printing, and office supplies (e.g., Telephone: $50/month x 50% = $25/month x 12 months).

F. Contractual –

a) Subgrants - For each subgrant/contract please provide a detailed line-item budget breakdown explaining specific services. Please provide a subgrant budget using the approved OMB budget format. (See Tab C: Budget Guidelines, above.)

b) Consultant Fees - For example lecture fees, honoraria, travel, and per diem for outside speakers or independent evaluators: list number of people and rates per day (e.g., 2 x $150/day x 2 days). Consultant/outside expert fees/honoraria should be consistent with the level of experience and based on a fair market value. (*NOTE: Consultant Fees and Honorarium should NOT EXCEED $655/day*)

G. Other Direct Costs - these will vary depending on the nature of the project. The inclusion of each should be justified in the budget narrative. All costs must be allowable, allocable, and reasonable, and consistent with OMB guidelines. ***Line items such as "Miscellaneous," "Other," "Contingency Fund," and "Reserve Fund" are not permitted***.

H. Indirect Charges - See 2 CFR 200.414 , "Indirect Costs"

1) If your organization has an indirect cost-rate agreement with the U.S. Government, please

include a copy of this agreement. Please specify if your organization elects to charge the de minimis rate of 10% of the modified total direct costs. This does not count against submission page limitations.
2) If your organization is charging an indirect rate, please indicate how the rate is applied--to direct administrative expenses, to all direct costs, to wages and salaries only, etc.
3) Do not include indirect costs against participant expenses in the Bureau budget, as it generally does not pay for these costs.

Cost Share/Cost-Effectiveness - Explanation of contributions should be included in the budget narrative, whether cash or in-kind. Assign a monetary value in U.S. dollars to each in-kind contribution. If the proposed project is a component of a larger program, identify other funding sources for the proposal and indicate the specific funding amount to be provided by those sources. In addition, it is recommended that budget narratives address the overall cost-effectiveness of the proposal, including leveraging of institutional or other resources. Cost sharing or matching refers to a portion of project or program cost that is not borne by the Federal Government. Grantees must follow cost sharing or matching policy as stipulated in 2 CFR 200.306. Cost sharing amounts proposed will be incorporated as part of the allowable budget items. If selected for an award, your organization will have to provide the minimum amount of cost sharing as stipulated in the budget approved by the Grants Officer. If your organization does not meet its cost share amount stipulated in the approved budget by the end of the period of performance INL will have the option to (1) reduce its contribution in proportion to your organization's contribution in the event that you do not provide the minimum amount of cost sharing stipulated in the budget or (2) hold your organization accountable for the amount specified in the approved budget.

BUDGET CONDITIONS AND RESTRICTIONS:

The Recipient is reminded that funds provided under this agreement must be used in a manner fully consistent with U.S. law. The recipient agrees that none of the funds provided by this award shall be used to lobby for or against abortion. The recipient agrees that none of the funds provided by this award shall be used to pay for the performance of abortion as a method of family planning or to motivate or coerce any person to practice abortions.

Per 22 CFR 200.307 ((e) (1), (2) and (3) of this section please note the following guidance concerning use of Program Income:

- Program income earned during the project period shall be retained by the recipient and, in accordance with the terms and conditions of the award, shall be used in one or more of the ways listed in the following:
  1) Added to funds committed to the project by the Department and recipient and used to further eligible project or program objectives.
  2) Used to finance the non-Federal share of the project or program.
  3) Deducted from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.
- It is emphasized, however, that the above three alternatives are applicable only when the grantee is a non-profit entity. Any grant to a commercial firm must state that the first of the alternatives is not available for program income earned by the grantee. (GAO noted in its Principles of Federal Appropriations Law at 10-57, that "This approach [option (1)] increases program size.

Both OMB and GAO have expressed preference for the deduction method [option (3)] since it results in savings to the federal government and to grantees.”)

INL will consider budgeted line-items for the following:

- External evaluations to assess the project’s impact (costs must be built into the overall original budget proposal and must be reasonable);
- Costs associated with an internal evaluation conducted by the grantee (costs must be built into the overall original budget proposal and must be reasonable);
- Visa fees, immunizations, and medical insurance associated with program travel;
- A-133 Audit or internal audit for the INL program (or prorated costs that is shared among other Federal Assistance grants/contracts)
- English translation (cost must be built into the original budget proposal and must be reasonable)

The following cost elements will not be reimbursed and are not allowable in this program:

- Publication of materials for distribution within the U.S.;
- Administration of a project that will make a profit;
- Expenses incurred before or after the specified dates of award period of performance (unless prior written approval received);
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction;
- Entertainment and/or Alcoholic beverages;
- Costs of entertainment, including amusement, diversion, and social activities and any associated costs are unallowable, except where specific costs that might otherwise be considered entertainment have a programmatic purpose and are authorized either in the approved budget for the Federal award or with prior written approval of the Federal awarding agency;
- Land;
- Construction;
- Direct support or the appearance of direct support for individual or single party electoral campaigns;
- Duplication of services immediately available through municipal, provincial, or national government;
- Expenses listed as “miscellaneous”, “other”, or “contingencies”;
- Expenses made prior to the approval of a proposal or unreasonable expenditures will not be reimbursed.

INL may make conditions and recommendations on proposals to enhance proposed programs. Conditions and recommendations are to be addressed by the applicant before approval of the award. To ensure effective use of INL funds, conditions or recommendations may include requests to increase, decrease, clarify and/or justify budget costs.

TAB D: GUIDELINES FOR STANDARD FORMS

SF-424 – Complete all fields except fields noted as "Leave Blank" below.

1. Type of Submission: *Application*
2. Type of Application: *New*
3. Date Received: *Leave blank. This will automatically be assigned*
4. Applicant Identifier: *Leave blank*

5a. Federal Entity Identifier: *Leave blank*
5b. Federal Award Identifier: *Leave blank*

6. Date Received by State: *Leave blank. This will automatically be assigned*
7. State Application Identified: *Leave blank. This will automatically be assigned*

8a. Enter the legal name of the applicant organization.
8b. Employer/Taxpayer ID Number: *(Non U.S. organizations leave blank)*
8c. Organizational DUNS: Organizations can request a DUNS number at http://fedgov.dnb.com/webform
8d. Enter the full address of the applicant
8e. Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable
8f. Enter the name, title, organization, and contact information of person to be contacted on matters involving this application

9. Select an applicant type (type of organization)
10. Enter: *Department of State*
11. Enter: the CFDA number is ***19.703***
12. Enter the Funding Opportunity Number and title. *For grants.gov, the info must be provided here; please see page 1 of this NOFO.*
13. Enter the Competition Identification Number and title. *For grants.gov, leave blank.*
14. Areas Affected by Project: *List the country or countries where project activities will take place in alphabetical order; for projects that will take place in more than one region enter "Global".*
15. Enter the title of the proposed project (if necessary, delete pre-printed wording)

16a. Enter congressional district of Applicant. (*foreign applicants please enter "90."*)
16b. Enter: (*foreign applicants, please enter "00"*)
Program: Leave blank

17. Enter a start date and a projected end date
18. Enter the amount requested for the project under "Federal" (18a); enter any cost-share under "Applicant" (18b).
19. Enter "c"
20. Select the appropriate box. If you answer "yes" to this question you will be required to provide an explanation.
21. Enter the name, title, and contact information of the individual authorized to sign for the application.

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

The technical applications and proposal submissions will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

If award is not made on the initial applications, INL may request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by INL or the applicants as indicative of a decision or commitment upon the part of INL to make an award to the applicants with whom discussions are being held.

I. TECHNICAL EVALUATION CRITERIA

A technical evaluation committee, using the criteria shown in this Section, will evaluate the technical applications. The various functional elements of the technical criteria are assigned weighted scores, so that the applicants will know which areas require emphasis in the preparation of applications.

Where technical applications are considered essentially equal, cost may be the determining factor. Applicants should note that these criteria serve as the standard against which all applications will be evaluated and serve to identify the significant matters which applicants should address in their applications.

The relative importance of each criterion is indicated by the number of points assigned. A total of 100 points is possible.

1) Analytic Framework for Assessment (Total Possible Points - 20):

- Identify key questions that must be answered in order to design a program aimed at establishing or improving programs in Burkina Faso and Senegal
- Identifies key questions that must be answered relating to a detailed analysis of the political economy of road safety and anticorruption
- Details how information would be collected and analyzed
- Describes who will conduct analysis

2) Program Planning (Total Possible Points - 20):

- Provides a comprehensive quarterly work plan for project activities that demonstrates substantive undertakings within the logistical capacity of the organization
- Objectives are clear, specific, attainable, measurable results-focused and placed in a reasonable time frame
- Addresses how the program will engage or obtain support from relevant stakeholders and identifies local partners, where appropriate
- Describes the division of labor among the direct applicant, any partners and any potential sub-grantees

- Proposal clearly articulates understanding of the security situation/operating environment and plans for ensuring safety of participants
- Includes contingency plans for potential difficulties in executing the original work plan

3) Monitoring and Evaluation (Total Possible Points - 20):
- The project explicitly builds in a process to adjust assumptions, re-diagnose problem definition and theory of change, and examine creative new emergenct opportunities
- The Monitoring and Evaluation (M&E) Plan includes:
    - Narrative explaining how monitoring and evaluation will be carried out and who will be responsible for monitoring and evaluation activities
    - Table listing by program objectives the output- and outcome-based performance indicators with baselines and (yearly and cumulative) targets; data collection tools; data sources; types of data disaggregation, if applicable; and frequency of monitoring and evaluation
- Proposal shows that organization has the ability and experience of engaging in evaluation

4) Quality of Program Idea (Total Possible Points - 15):
- Responsive to the solicitation
- Appropriate in the country/regional context
- Exhibits originality, substance, and precision

5) Cost Effectiveness (Total Possible Points - 15):
- The overhead and administrative components of the proposal, including salaries and honoraria, are explained and justified for the work involved
- All budget items are necessary, appropriate, and linked to program objectives
- Personnel costs are reasonable for the work involved
- <u>Optional</u>: The proposal offers meaningful cost-share (over and above)

6) Applicant Capacity / Past Performance (Total Possible Points - 10):
- The proposal demonstrates an institutional record of successful programs in the proposed countries (Burkina Faso, Senegal), the content area , or other (describe)
- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives
- Roles, responsibilities, and brief bios/resumes are included for primary staff, and demonstrate relevant professional experience
- Applicant is a current/past Department of State grantee where performance
    - was/is on target
    - showed/shows responsible fiscal management

  OR
- The proposal is from a NEW APPLICANT and proposal:
    - demonstrates capacity for responsible fiscal management
    - illustrates success in similar sized projects

COST EVALUATION

Cost will be evaluated for realism, reasonableness, allowability, allocability, and cost effectiveness. The pre-award evaluation of cost effectiveness will include an examination of the application's budget detail to ensure it is a realistic financial expression of the proposed project and does not contain estimated costs which may be unallocable, unreasonable, or unallowable. Applications that have more efficient operational systems that reduce operation costs will be favorably considered.

Applications that maximize direct activity costs including cost sharing and that minimize administrative costs are encouraged. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured by a responsibility determination.

[END OF SECTION V]

SECTION VI – FEDERAL AWARD ADMINISTRATION INFORMATION

Federal Award Notices: The successful applicant(s) will be notified via email that its proposal has been selected to move forward in the review process; this email IS NOT an authorization to begin performance. 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 assistance award agreement is the authorizing document and it will be provided to the Recipient through email transmission. The recipient may only incur obligations against the award beginning on the start date outlined in the DS-1909 award document that has been signed by the INL Grants Officer. Organizations whose applications will not be funded will also be notified via email by INL. Please refer to the anticipated time to award information in Section E.

Substantial Involvement (for Cooperative Agreements only): INL shall be substantially involved during the implementation of the award agreement in the following ways:

1) Approval of the Recipient's analytic framework and analysis as the basis to develop a program design;
2) Engagement on the development of and approval of the program design;
3) Approval of the Recipient's annual work plans, including: planned activities for the following year, travel plans, planned expenditures, event planning, and changes to any activity to be carried out under the Cooperative Agreement;
4) Approval of specified key personnel;
5) Approval of sub-award Recipients (if any), and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
6) Approval of Monitoring and Evaluation Plan
7) Other country specific approvals will be included in the award documents

Terms and Conditions: Recipients will be held to the applicable terms and conditions found at https://www.statebuy.state.gov/fa/Pages/TermsandConditions.aspx.
It is the Recipient's responsibility to ensure they are in compliance with all applicable terms, conditions, and OMB guidance and requirements. Those organizations found to be in non-compliance may be found ineligible for funding or designated high risk.

2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards: All applicants must adhere to the regulations found in 2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards.

Branding Requirements: As a condition of receipt of a grant award, all materials produced pursuant to the award, including training materials, materials for recipients or materials to communicate or promote with foreign audiences a program, event, project, or some other activity under an agreement, including but not limited to invitations to events, press materials, and backdrops, podium signs, etc. must be marked appropriately with the standard, rectangular U.S. flag in a size and prominence equal to (or greater than) any other logo or identity. **Note**: Exceptions to the branding requirement are allowable under certain conditions. If an applicant is notified that their award has been chosen for funding, the Grants Officer will determine, in consultation with the applicant, if an exception is applicable.

Reporting Requirements:

1. Recipients are required to submit quarterly program progress and financial reports throughout the project period. Progress (SF-PPR and narrative) and financial reports (SF 424 and a detailed financial expenditure report) are due 30 days after the reporting period. Final certified programmatic and financial reports are due 90 days after the close of the project period.

   - First Quarter (October 1 – December 31): Report due by January 30
   - Second Quarter (January 1 – March 31): Report due by April 30
   - Third Quarter (April 1 – June 30): Report due by July 30
   - Fourth Quarter (July 1 – September 30): Report due by October 30

   All reports are to be submitted electronically via email to the Grants Officer and Grants Officer Representative noted in the award agreement.

2. Awardees that are deemed to be high risk may be required to submit more extensive and frequent reports until their high risk designation has been removed by the Grants Officer.

3. The Awardee must provide to INL an inventory of all the U.S. government provided equipment purchased with grant funds using the SF428 form on an annual basis.

State Department Leahy Amendment Vetting Requirements:

Funds provided under this program are subject to Section 620M of the Foreign Assistance Act of 1961, as amended, a provision titled "Limitation on Assistance to Security Forces" (the "Leahy Amendment"). Subsection (a) of that provision states: "(a) In General.—No assistance shall be furnished under this Act [the Foreign Assistance Act] or the Arms Export Control Act to any unit of the security forces of a foreign country if the Secretary of State has credible information that such unit has committed a gross violations of human rights." Accordingly, none of the funds under this program may be used to provide training or other assistance to any unit or member of the security forces of a foreign country if the Department of State has credible information that such unit or individual has committed a gross violation of human rights.

In signing this agreement, the Recipient agrees to exercise due diligence to ensure compliance with the Leahy provision and State Department policy, and to cooperate with the State Department in implementation of the Leahy requirement for funds under this award. The Department implements the Leahy requirement by vetting units or individuals proposed for training or other assistance to check for credible information of a gross violation of human rights by such units or individuals. To facilitate State Department vetting, the Recipient must provide the following information for proposed participants at least sixty (60) calendar days prior to commencing award activities. This information should be submitted to the U.S. Embassy in the country where the award will be implemented in order to initiate Leahy vetting procedures:

Information needed: Full name, date of birth, country of birth, country of citizenship, gender, rank, title, and organizational affiliation. Please also include the activity and date that the activity will take place—if the person will participate throughout an extended program, please note the timeframe. Participant information should be submitted in the format attached.

Information required for "security forces" personnel: The above information is needed for each member of a foreign police or military unit (security forces, broadly defined) who will participate in any activity under this award. This includes both civilian and military employees of security forces participating in any activities funded under this award, including training, workshops or meetings, conferences, or other activities.

The Recipient must collaborate with the relevant U.S. Embassy on a case-by-case basis to determine if the Leahy requirement applies to specific activities or proposed participants. Individuals who are not members of the security forces but who participate in activities under the award (e.g., politicians, academics, etc.) generally do not need to be vetted.

Submission Deadline: Each candidate must be cleared under Leahy vetting in advance of participation in activities funded under this award. The vetting process typically takes approximately one month, but may take longer if there are a large number of candidates or if issues arise. Thus, all information on proposed candidates must be received by the Embassy at least sixty (60) days in advance of the training event or other activity.

The Recipient agrees that it will not include any security forces candidate in training or other activities funded under this award until the State Department advises that the candidate has cleared Leahy vetting and is approved for participation.

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

Any prospective applicant desiring an explanation or interpretation of this NOFO must request it in writing by the deadline for questions specified in the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment of this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

Any questions or comments concerning this NOFO must be submitted in writing by email to Cheryl Price, PriceCH@state.gov, by the deadline for questions indicated at the top of this NOFO's cover letter.

[END OF SECTION VII]