United States Department of State
Bureau of International Narcotics and Law Enforcement Affairs (INL)
Notice of Funding Opportunity (NOFO)

Announcement Type:	Request for Federal Assistance Awards Applications
Public Opportunity Title:	Developing Prevention and Urban Design Strategies for Municipalities in Costa Rica to Prevent Crime and Drug Trafficking
NOFO Opportunity Number:	*INL17GR0043-WHPCostaRica-PrevStra-070617*
Catalog of Federal Domestic Assistance (CFDA) Number:	19.704 – Counter-narcotics
Funding Amount:	$300,000 U.S. Dollars
NOFO Issuance Date:	July 6, 2017
Deadline for Receipt of Questions:	August 6, 2017 5:00 PM Eastern Standard Time
Closing Date and Time for Submission of Applications:	August 31, 2017 11:59 PM Eastern Standard Time
Program Type:	INL/Program Office program initiative
Grant Program:	*Central America Regional Security Initiative*
Assistance Type:	Grant
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. Applicants should note that the following criteria (1) serves as a standard against which all proposals will be evaluated, and (2) serves to identify the significant matters that should be addressed in all proposals. The United States Government (USG) will award this grant to the applicant whose proposal represents the best value to the USG based on technical merit and cost. Each application will be evaluated by a selection committee of U.S. Embassy San Jose employees and other selected disinterested parties.

Applicant Type:	Organizations
Award Ceiling:	$300,000
Award Floor:	$250,000
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 USG 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 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, for a Grant to implement a program entitled ***"Developing Prevention and Urban Design Strategies for Municipalities in Costa Rica to Prevent Crime and Drug Trafficking".*** 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 grant 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 $300,000.00 in total funding. The U.S. Dollar amount will be funded from INL allocated funds, for a project period of 3 years. 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 grants.gov including the requirements found in any attachments to this grants.gov opportunity. This NOFO consists of the following Sections:

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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 Carla Ortega via email at OrtegaCM@state.gov and Cheryl Price at PriceCh@state.gov. The deadline for submission of questions for this NOFO is August 6, 2017, 5:00 PM Post local time. Responses to questions will be made available to all potential applicants via a Questions and Answers document uploaded and posted on 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

Crime is a significant concern in Costa Rica, and it has steadily increased over the past few years. The most widely used indicator of crime is the homicide rate, which reached a record high in 2015. There were 566 murders, marking a 20 percent increase over the 471 murders registered in 2014. The murder rate was approximately 11.5 per 100,000 inhabitants by the end of 2015, surpassing the threshold of 10 per 100,000 that the World Health Organization considers to be an endemic level of homicide. National and international data show that Costa Rica's police needs assistance as they continue to experience a myriad of serious drug problems.

International drug trafficking organizations have increased their operations in Central America and in the Caribbean in recent years. A 2011 report by the International Narcotics Control Board states that Central American countries, Costa Rica included, are no longer used as transit points by drug traffickers like they were at the end of the 20th century. International drug trafficking organizations are now using these countries as storage facilities and fueling stations, paying their

in-country collaborators with drugs, which they, in turn, sell locally for profit. The introduction of

"high red," a high THC content marijuana from Jamaica, into the country, is another sign that Costa Rica is no longer a drug transit point but also an importer, according to the 2013-2017 National Drug Plan.

Increased drug trafficking has impacted the safety and security of Costa Rican citizens. With an increase in drug trafficking and national drug production, it is no surprise that illicit drug use in Costa Rica is also on the rise. According to the 2014 Provincial Geographic Analysis of Drugs in Costa Rica, which was conducted between 2011 and 2013 by Costa Rica's Institute on Alcoholism and Pharma Codependence (IAFA), illicit drug use in Costa Rica has increased by 7.2% between 2006 and 2012, from 10.6% in 2006 to 17.8% in 2012. Among all of the drugs whose consumption has increased in recent years (including crack, cocaine, and psychotropic drugs, such as tranquilizers, stimulants, and opioids), marijuana consumption experienced perhaps the most astonishing increase. According to IAFA's 2010 Home Survey on Drug Consumption in Costa Rica, the active consumption of marijuana, the most commonly consumed illicit drug in Costa Rica, increased from 0.6% in 2006 to 2% among 12 to 70 year old's. This means that the number of people in this particular age group, which makes up approximately 75% of Costa Rica's entire population, who smoke marijuana regularly (daily, weekly, or 1-3 times per month) has tripled in just four years. What is also worrisome is that the age of onset of drug use for many drugs, according to IAFA, has decreased. The age of onset of marijuana consumption, for example, has decreased from 18 to 16 years of age, and the age of onset of cocaine use, though higher than that of marijuana, has decreased as well.

The response of the municipalities to the phenomenon of insecurity has essentially consisted of setting up surveillance camera systems, creating municipal police in some cases and supporting the presence of the Fuerza Publica, by building infrastructure for police delegations. These actions are correct and necessary but have become insufficient because they are based on a situational and reactive approach. So far, actions of anticipation and crime prevention have not occupied the priority required because the experience in this matter is still scarce. Municipal Police does not have a legal foundation, but currently there is a law in Congress that will give them one. Some Municipal Police are more repressive than others are, but their main work is preventive and they serve as an ally for Fuerza Publica when necessary.

The Fuerza Publica and the Ministry of Security, in conjunction with many municipalities, have completed actions of primary prevention in a limited way, such as community outreach and dissemination of information. However, for municipalities, their prevention strategies are not based on medium-term plans, however, are based on hard data and empirical evidence. That is why the Ministry of Public Security, with the support of INL, decided to adopt as a method of diagnosis and analysis of the situation in municipal districts and cantons as a whole, the methodology proven for several years in the municipalities and cities of Colombia called Comprehensive Analysis of Community Security and Citizen Coexistence (AISEC).

AISEC is a methodology or strategic tool created by the Colombian Police, that allows the different police departments (delegations) to generate comprehensive readings of local realities, actors, phenomena and delinquency manifestations, through the application of methodological tools related to social risks, institutional capacities, crime and Contraventions or faults occurring in a specific area or territory.

Development of AISEC is carried out with different technical tools and platforms available in Fuerza Publica (named Datapol) to establish dates, timetables and sites where criminal behavior occurs, as well as internal and external surveys, where vital information is extracted for analysis, such as social risks, drug addiction, quarrels and many other factors.

The AISEC project in Costa Rica consists of using all the information generated by AISEC through two planning axes:

1. Fuerza Publica
    - AISEC results will be used by the cantonal delegations of the Fuerza Publica in terms of anticipation of the criminal actions in particular groups as well as the drug trafficking and organized crime that have been detected operating in the territories; and carried out by the Ministry of Security.

2. Municipalities
    - AISEC results will be used by the municipalities to develop prevention strategies, prioritizing areas and actions for intervention at each district level, in terms of land use and urban planning, as well as environmental and social management. This will be carried out by the selected recipient.

U.S. Embassy San Jose plans to conduct a single award of US $300,000.00 for a project period of three (3) years. 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 one or none of the applications submitted and will determine the resulting level of funding for the award.

This funding will support USG objectives under the Central America Regional Security Initiative (CARSI). Within Central America, CARSI is enhancing the capabilities of national law enforcement, border and customs, prosecutorial, judicial, and prison agencies. These improvements are strengthening partner governments' ability to fight burgeoning narcotics- and arms-trafficking, gangs and associated street and organized crime, which threatens the security of governments in the region. The success of programs under the CARSI framework will enhance citizen safety and advance a wide range of other United States and regional shared security priorities. These improved capabilities will also provide a stronger platform for sustained bilateral and multilateral partnerships between the United States, Central American nations, and other regional states.

PROJECT PURPOSE/DESCRIPTION

The main purpose will be to create crime prevention strategies in Municipalities based on the AISEC results, especially urban design strategies to recover public spaces (CPTED). This will be accomplished through the delivery of trainings, provision of technical assistance and ongoing support to each municipality. This project will include working in 15 municipalities, their municipal police, fuerza publica, and communities.

The selected organization will have to work with INL Costa Rica and the Ministry of Security to implement this project. The selected organization must assist municipalities in revitalizing one park using the crime prevention through environmental design theory. This includes assisting with the design of playgrounds, exercise machines, benches, and all additional items needed to outfit a public space. The park must be one of the critical areas that the AISEC project revealed in each

canton.

The project will seek to respond to the needs (based on the AISEC's results) of Municipalities and Municipal police, specifically the 15 that are part of the AISEC project in Costa Rica:

1. San Jose
2. Tibás
3. Goicoechea
4. Quepos
5. Mora
6. Moravia
7. Escazú
8. Santa Ana
9. Belén
10. Curridabat
11. Montes de Oca
12. La Unión
13. Alajuela
14. Alajuelita
15. Desamparados

A key activity of the project will be including Fuerza Publica in the strategies to improve security in those cantones. Fuerza Publica plays a fundamental role not only in responding to current situations of violence, but also in the crucial task of violence prevention.

The selected recipient will build capacity among the municipalities, specifically for their design teams and their municipal police (not all of them have municipal police), in these subjects:

1. Crime prevention through environmental design (CPTED)
2. Design Thinking Theory
3. Territorial Organization Theory
4. The Importance of Local Governments in Security

The selected recipient will help municipalities create strategies to:

- Work together within municipalities to develop an integrated strategy to reduce crime (work with the 15 municipalities and create a plan per region).
- Recover public spaces and make them safe
- Promote a sense of ownership in the public space (guide municipalities on how to work with communities)
- Promote community interaction; the strategy encourages activities in public spaces that are intended for use by residents and other legitimate users and to discourage criminal acts.
- How to develop strategies with fuerza publica to recover public spaces

PROJECT GOALS

The project is comprised of the following objectives and corresponding activities:

PROJECT OBJECTIVES

Objective 1: Build Capacity in the 15 municipalities in Crime prevention through environmental design theory (CPTED)

Activity 1: *Conduct several trainings in methodology and tools that will allow the municipalities to design and create safer public spaces*

Activity 2*: Assist municipalities by designing and constructing at least one park using crime prevention through environmental design theory. This includes assisting with design and purchasing items such as playgrounds, exercise machines for parks, benches, and all things needed to outfit a public space. The park must be one of the critical areas that the AISEC project revealed in each canton.*

Activity 3: *Create crime prevention strategies in Municipalities based on the AISEC results, especially urban design strategies to recover public spaces (CPTED).*

Objective 2: Build Capacity in Design Thinking Theory

Activity 1: *Conduct several trainings in methodology and tools. This includes technical assistance for municipalities to put this into practice. Activities must include fuerza publica, and must consider the AISEC results.*

Objective 3: Build Capacity building in Territorial Organization Theory

Activity 1: *Conduct several training in methodology and tools. This includes technical assistance for municipalities to put this into practice. Activities must include fuerza publica, and must considerate the AISEC results.*

Objective 4: Build Capacity in the Importance of Local Governments in Security

Activity 1: *Conduct several trainings in methodology and tools. This includes technical assistance for municipalities to put this into practice. Activities must include fuerza publica, and must considerate the AISEC results.*

Objective 5: C*reate an integrated strategy within the 15 municipalities to reduce crime*

Activity 1: *This component must include all the results of the AISEC project and working with municipalities, municipal police, fuerza publica and other local actors to develop the strategy.*

Other Considerations

TARGET POPULATION

Applicants should work with the 15 municipalities mentioned in this NOFO, and work with fuerza publica and communities. It is particularly important to specify the approximate number of beneficiaries to be directly and indirectly impacted by project activities.

DESIRED RESULTS AND ILLUSTRATIVE INDICATORS

By the end of the three (3) years of the project, the selected applicant is expected to:

1. Work with the 15 municipalities. The selected organization will have to create a structure and a plan of action for all the training and practice to be held.

2. In addition to working with the municipalities and the police, the selected organization must work with the community where the municipality is located. The selected organization must develop a schedule of activities that the municipalities, municipal police and fuerza publica will carry out each year (including the development of at least one park in each municipal territory).

3. Collect statistics throughout the entire grant period that will be useful for Costa Rican authorities:
   a. Percentage of crime before and after the grant starts
   b. Number of trainings conducted
   c. Number of AISEC results grantee worked on
   d. Number of police officers trained
   e. Number of municipal police trained
   f. Number of joint activities between police and municipalities
   g. Number of joint activities with the Ministry of Security
   h. Number of parks intervened
   i. Number of prevention strategies created
   j. Number of Municipalities that report having a better sense of how urban design impacts in crime
   k. Others mentioned in the indicators in this NOFO

4. Engage local authorities such as the Ministry of Security, and the municipalities in the process so that they become key members of the project

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 will be measured, as well as illustrative targets, upon which the recipient will be responsible for monitoring and reporting during and after the project. In addition, INL San Jose will regularly monitor the project's performance to assess whether project activities are on track and targets are being achieved.

Outcome indicators 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.

OUTCOME INDICATORS	ILLUSTRATIVE TARGETS
Number of joint activities between police and municipalities	50

Number of joint activities with the Ministry of Security	30
Number of parks intervened	15
Percent of crime rate reduction since the implementation of the project in each community	20%
Number of prevention strategies created	15
Number of Municipalities that report having a better sense of how urban design impacts in crime	15

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

Output Indicators	**Illustrative targets:**
Number of participating municipalities	15
Number of police officers trained	50
Number of municipal police trained	70
Number of trainings conducted	25

The recipient may propose additional outputs, indicators, and/or targets as appropriate. The recipient will be required to collect baseline data for all the PMP indicators during the duration 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 grant agreement based on this NOFO. The anticipated total federal funding amount is not to exceed $300,000. The period of performance is three (3) years with an anticipated start date of October 2017. 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.

The U.S. government may issue one (1) award 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.

Applicants please be advised that the following will be required if your organization is selected for this announcement.

State Department Leahy Amendment Vetting Requirements:
Funds provided under this award 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 award 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 II]

SECTION III – ELIGIBLITY INFORMATION

(1) Eligibility for this NOFO is limited to:

- 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 Costa Rica and meet INL's reporting requirements. Organizations must also be able to demonstrate current (or pending) country registration in Costa Rica, if required by the country of project implementation.

  AND

- Applicants must have demonstrated experience implementing similar education or capacity building programs, preferably in Costa Rica. 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 produce course materials, deliver training, and conduct evaluations in Spanish 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 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.

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

To be eligible for a grant 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 to immediately confirm their organization has a current Unique Entity Identifier (Dun and Bradstreet (DUNS) 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 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.*

NOTE: DUNS requirements are applicable to any potential sub grantees as well.

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)***. 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) to register on an ANNUAL basis. This requirement is applicable to all potential subgrantees as well.

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 external financial audit report (as required per 2 CFR 200.500 – Subpart F)**. If an external financial audit report cannot 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 fifteen [15] page limit ***does not*** include the Table of Contents, Executive Summary, Attachments, Detailed Budget, Budget Narrative or NICRA.
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.
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.
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;** (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. **Program Risk Analysis**: Please provide the required risk analysis information as noted in **TAB B** of this NOFO.
15. **INL Pre Award Annual Survey –** 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. 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. MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and sub-awards and sub-

contracts up to the first $25,000 of each sub-award or sub-contract (regardless of the period of performance of the sub-awards and sub-contracts under the award). ***MTDC excludes equipment ($5,000 or greater), capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub-award and sub-contract in excess of $25,000***. 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 Activities
- 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 Activities and Indicators: Describe the planned 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.*

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 will 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

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 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)	 $X/RT flight/# staff $X/day/# day/# staff			

-Participant Travel (# participants) -Participant Per Diem (X days)	$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 should also include an accompanying budget narrative document 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 = $2,600x 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 ***19.704***
12. Enter the Funding Opportunity Number and title. *See page 1 of NOFO for the number and title.*
13. Enter the Competition Identification Number and title. *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.

Quality of Program Idea (Total Possible Points - 25):

- Responsive to the solicitation (5)
- Appropriate in the country/regional context (5)
- Exhibits originality, substance, and precision (5)
- Prioritizes innovation but is feasible (5)
- In countries where similar activities are already taking place, provides an explanation as to how new activities will not duplicate or merely add to existing activities (5)

Program Planning/Ability to Achieve Objectives (Total Possible Points – 25):

- Includes a clear articulation of how the proposed program activities contribute to the overall program objectives (3)
- Each activity is clearly developed and detailed (3)
- Provides a comprehensive quarterly work plan for project activities that demonstrates substantive undertakings within the logistical capacity of the organization (3)
- Objectives are clear, specific, attainable, measurable results-focused and placed in a reasonable time frame (3)
- Addresses how the program will engage or obtain support from relevant stakeholders and identifies local partners where appropriate (3)
- Describes the division of labor among the direct applicant, any partners and any potential

subgrantees (2)
- Proposal clearly articulates understanding of the security situation/operating environment and plans for ensuring safety of participants (2)
- Includes contingency plans for potential difficulties in executing the original work plan (6)

Cost Effectiveness/Cost Sharing (Total Possible Points - 15):
- The overhead and administration of the proposal, including salaries and honoraria, are explained and justified for the work involved (5)
- All budget items are necessary, appropriate and linked to program objectives (5)
- Personnel costs are reasonable for the work involved (5)

Program Monitoring and Evaluation (Total Possible Points - 15):
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 (5)
- 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 (7)
- Includes an external midterm and/or final evaluation or justification for why one is not included (3)

Multiplier Effect/Sustainability of Impact Rating (Total Possible Points - 10):
- Clearly delineates how elements of the program will have a multiplier effect (5)
- Clearly delineates how impact will be sustainable beyond the life of the grant (5)

Institution's Record and Capacity Rating (Total Possible Points - 10):
- The proposal demonstrates an institutional record of successful programs in the proposed country and the content area (4)
- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives (2)
- Roles, responsibilities, and brief bios/resumes are included for primary staff, and demonstrate relevant professional experience (2)
- Applicant is a current/past Department of State grantee where performance (2)
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 (2)

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 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;
2) Approval of specified key personnel;
3) Approval of sub-award Recipients (if any), and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
4) Approval of Monitoring and Evaluation Plan
5) 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 31
    - Second Quarter (January 1 – March 31): Report due by April 30
    - Third Quarter (April 1 – June 30): Report due by July 31
    - Fourth Quarter (July 1 – September 30): Report due by October 31

    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.

[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 Carla Ortega (OrtegaCM@state.gov) and Cheryl Price (PriceCh@state.gov) by the deadline for questions indicated at the top of this NOFO's cover letter.

[END OF SECTION VII]