PROPOSAL SUBMISSION INSTRUCTIONS (PSI)

I. APPLICATION AND SUBMISSION INSTRUCTIONS

Technically eligible submissions are those that: 1) Arrive via Grants.gov (www.grants.gov) by the designated due date and time, 2) contain a complete application package as outlined in the NOFO; and 3) heed all instructions outlined in the NOFO and this PSI document.

It is the applicant's responsibility to ensure proposals have been submitted and received in advance of the deadline indicated in the NOFO.

U.S. Department of State requires that all Department awards be *issued* via State Award Management System (SAMS). Successful applicants must secure the ability to manage the award through SAMS, including acceptance/electronic counter-signature within the system.

For assistance with the system, applicants must contact SAMS Help Desk at 866-577-0771 or SAMSSupport@state.gov

*Applicants should follow application submission requirements in the NOFO located 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
C) All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with one-inch margins
D) All documents must be submitted in English.

Complete applications must include the following for proposal submissions:

1. Forms: Completed and signed SF-424, SF-424A, and SF-424B (for non-construction programs/projects).

2. Table of Contents: Not to exceed one [1] page in Microsoft Word for the full proposal, including attachments, with page numbers.

3. Executive Summary: Not to exceed two [2] pages in Microsoft Word) including:
a) The target country(ies);
b) A statement of work or synopsis of the project, including a concise breakdown of the project's objectives, activities, and expected results;
c) The total amount of funding requested;
d) A brief statement on the project's innovative approach, sustainability, and plan for its demonstrated impact
e) Name and contact information for the project's main point of contact

4. Proposal Narrative: Up to 20 pages in Microsoft Word. Please note the page limit does not include the Table of Contents, Executive Summary and Attachments, such as Budget/and Budget Narrative, Audit Report, and NICRA, if applicable.

Applicants are encouraged to submit multiple sections in a single Microsoft Word document (e.g., Table of Contents, Executive Summary, and Proposal Narrative in one file). Budget (in excel), using the attached budget template, and budget narrative (in Word) should be **separated** from the proposal narrative.

Proposal narrative should include the following components:

- Introduction
- Narrative -- Problem Statement and Rationale
- Theory of Change
- Planned Activities -- Including anticipated outputs and outcomes, and key contingency plans
- Sustainability Plan
- Past Performance
- Performance Monitoring Plan

Applicants should describe the problem and the approach the project will take to achieve or contribute to a sustainable solution and a measurable outcome. Applicants should describe the planned activities, and relevant stakeholders for implementation. Applicants should also list assumptions that will affect the ultimate success of the project.

The applicant should explain, as necessary, the particular experience and qualifications the organization brings to the project.

5. Detailed Line-Item Budget (in Microsoft Excel): Please follow the attached **budget template**.

A summary budget must be included following the OMB-approved budget categories (as in SF-424A). Costs must be presented in whole U.S. dollars.

6. Budget Narrative (in Microsoft Word): **Please follow the attached *Budget Guidelines* document.**

Budget narrative should include an explanation and **justification** for each budget line item/each cost in the detailed budget, including cost-share, if applicable. For ease of review, we request applicants to ensure that the **budget narrative addresses the costs in the same order as they are listed in the detailed line-item budget**.

The budget narrative should communicate additional information that might not be readily apparent in the budget spreadsheet, and not simply repeat with words what is numerically stated in the budget.

7. Financial Management Survey: For first-time applicants to the U.S. Department of State/or awarding Bureau only.

8. Attachments: (5-10 pages, preferably in Microsoft Word). Six mandatory attachments include the following (see Tabs A-D below for more information):

a) Roles and Responsibilities to include the names of key personnel
b) Timelines/Schedule of Activities
c) Performance Monitoring Plan With Results/Logic Framework
d) Detailed Budget & Budget Narrative
e) Risk Assessment
f) Gender Analysis (mandatory for all Gender –based violence proposals)

Note: 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 project rather than the actual documentation.

Proposals submitted without the mandatory attachments will be ruled technically ineligible.

9. NICRA/Indirect Cost Rate: If the applicant organization has a Negotiated Indirect Cost Rate Agreement (NICRA), the most recently approved NICRA must be included as a .pdf file. This document will not be reviewed by the panelists, but rather by the U.S. Department of State Grants Officer if the proposal is recommended for funding. NICRA inclusion does not count against the page limitations as described above. If the proposal involves implementing partners charging indirect costs, please submit the applicable NICRA also as a .pdf file.

Per 2 CFR 200.414, applicants that do not have a NICRA may elect to charge a de minimis rate of **up to** 10% of modified total direct costs (MTDC) which may be used indefinitely. If the applicant organization has a NICRA rate, applicants are **not** allowed to apply the 10% de minimis, i.e. to alternate between the NICRA and the 10% de minimis. Whichever methodology is elected, it must be applied consistently to all federal awards. As described in 2 CFR 200.403, costs must be consistently charged as either indirect or direct costs and may not be double-charged.

10. Audit: Include a copy of the applicant organization's most recent audit (single or project audit), if applicable, or the annual financial statement audit. Please refer to the 2 CRF 200 for requirements). This document will not be reviewed by the review panel and will not be counted against the page limitations. The applicant's proposal may 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.

A non-federal entity that **expends** $750,000 or more in all USG federal assistance awards during the non-federal entity's fiscal year is required to conduct a single or project-specific audit for that year in accordance with the provisions of 2 CFR 200 subpart F. For more information, see Audit Services, 2 CFR 200.425.

NOTE: The U.S. Department of State retains the right to request additional documentation for items not specified in this PSI.

INFORMATION ON STANDARD FORMS
Please see Tab C for instructions for completion of Standard Forms 424, 424A, and 424B.

UNIFORM ADMINISTRATIVE REQUIREMENTS
Organizations should also be aware that if recommended for an award, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards set forth in 2 CFR Chapter 200 (Sub-Chapters A through F) and 2 CFR 600 (Department of State specifications) shall apply to all non-federal entities, except for assistance awards to Individuals and Foreign Public Entities.
Please note that as of December 26, 2014, 2 CFR 200 (Sub-Chapters A through E) now applies to foreign organizations, and Sub-Chapters A through D shall apply to all for-profit entities. The applicant of the award and any sub-recipient under the award must comply with all applicable terms and conditions, in addition to the assurance and certifications made part of the Notice of Award. The Department's Standard Terms and Conditions can be viewed at
https://www.statebuy.state.gov/fa/Documents/2016DeptTermsAndConditions_FA.pdf

TAB A: MANDATORY ATTACHMENT GUIDELINES

a) **Roles and Responsibilities:**
Indicate the roles and responsibilities of key project personnel with short biographies that highlight professional experience as it relates to the organization's capacity to implement the award. Please add the names of those individuals.

b) **Timeline/Schedule of Activities**:
Provide a timeline or schedule of activities for the overall project. Components should include all activities, including monitoring and evaluation efforts, and project closeout. Applicants may use a table, or another format, that is suitable for indicating the timing of the planned activities and the relationship between or sequencing of the activities. Choose the best tool to demonstrate the timeline for the project plan.

c) **Performance Monitoring Plan (PMP)**:
WHA will work with any successful recipient organization to implement the appropriate performance monitoring plan that meets both the needs of the Bureau and the implementing partner. Incorporating a well-designed monitoring and evaluation component into a project proposal is one of the most efficient methods of documenting the progress and potential success of a project. 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; and
- Developing key performance indicators that measure realistic progress towards the objectives

WHA expects implementing organizations will track participants or partners as appropriate and be able to respond to key evaluation questions, including satisfaction with the project/training, information learned as a result of the project/training, changes in attitude and behavior as a result of the project, and effects of the project on institutions with which participants work.

In the proposal and the PMP, there should be a clearly defined link between each of the following elements as delineated:

Problem Statement ==> Planned Activities/Inputs ==> Output Indicators ==> Outcome Indicators ==> Impact

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 quantitative indicators **must** include measurable, numerical targets, which should serve as the foundation for monitoring and evaluation efforts. Qualitative indicators are also permitted, but must be measurable and consistent across the PMP. Ultimately, proposed activities and achievement of indicator targets will lead to impact.

The PMP should include, at a minimum, the following elements:

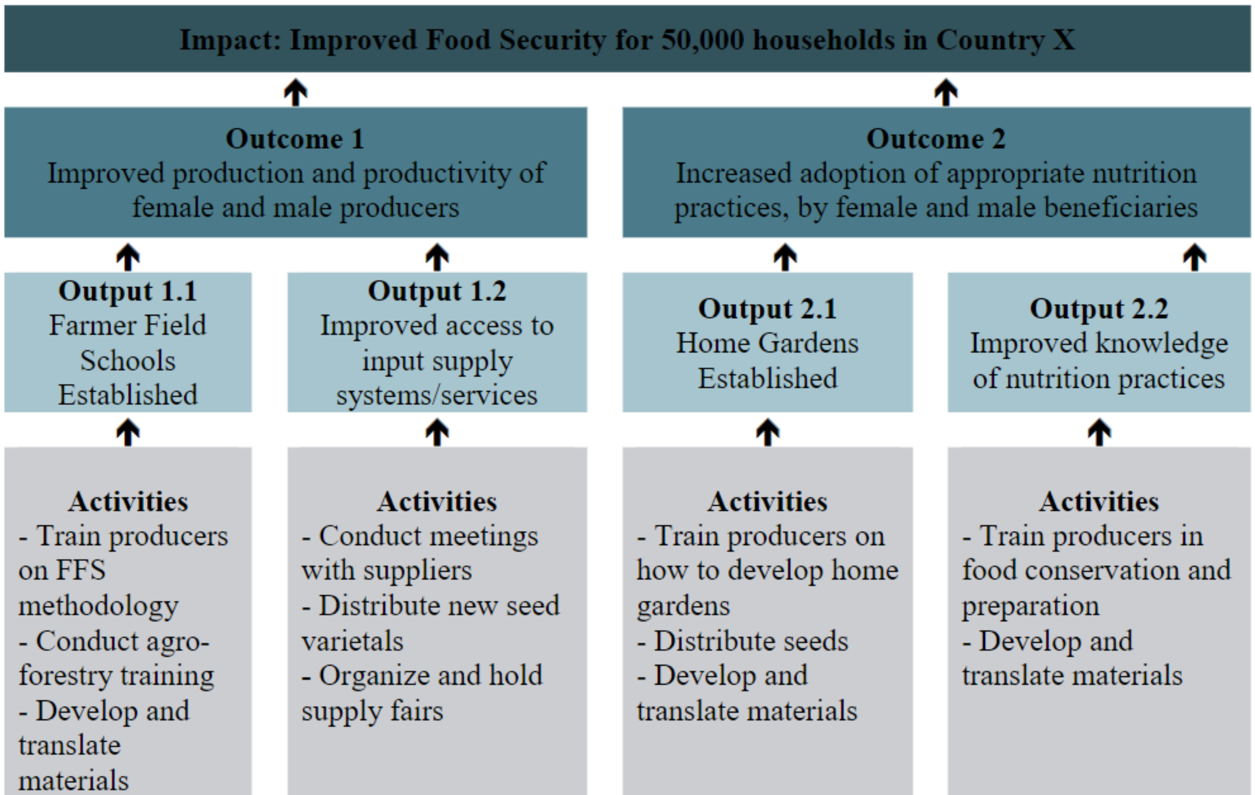
- **A results/logic framework** that graphically shows the intended impact, outcomes, inputs and activities of the proposed project and highlight the causal relationship between them through a logic model (please see example below).
- **A separate chart that clearly delineates indicators and targets**. Indicators, along with details on the measurement of each indicator, frequency of the measurements, units of measure, etc. Provide indicators at the output and outcome levels. All indicators must include measurable, numerical targets.
- Where possible, **performance baseline data** and expected performance targets for each indicator. In some cases, the baseline may be zero.
- **A monitoring plan** (see below), that includes elements 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 throughout the project.

Recipients will be required to provide reports with an analysis and summary of findings, both quantitative and qualitative, in regular project reports to WHA.

Sample Monitoring Plan

Activity: Training Course						
Indicator Type	**Indicator Name**	**Source**	**Target FY16Q1**	**Results FY16Q1**	**Target FY16Q2**	**Results FY16Q2**
Output	# of women trained in energy efficiency standards passing with 80% success rate	training records	10	20		
Outcome	% of standards implemented in participant's host country as a result of participant's direct or indirect participation	WHA reporting				
Activity: Government Roundtable						
Indicator Type	**Indicator Name**	**Source**	**Target FY16Q1**	**Results FY16Q1**	**Target FY16Q2**	**Results FY16Q2**
Output	xxx					
Outcome	yyy					

Sample Results/Logic Framework



d) Detailed Budget & Budget Narrative: Complete applications must include a detailed line-item budget following the required budget format. The budget narrative should follow the order of the line items in the budget and should be used to clarify and justify individual line-items.

Applicants are required to use the attached detailed budget template. Please follow the instructions in the Budget Guidelines document, Tab B.

- **Cost Effectiveness -** Applicants should demonstrate cost effectiveness of USG funds by presenting **reasonable budgets based on real estimates**. Budgets that either significantly over estimate or under estimate line item amounts will not be viewed as cost effective.

- **Cost Share –**Refers to a portion of project or program cost that is not borne by USG. Cost-sharing, if not mandated in the NOFO, is not required and will not be used as a factor in proposal review. If offered voluntarily, cost share must be itemized, explained, and **justified**. Cost share follows the same principle as USG funds.

For any cost sharing included, applicants are required to provide an explanation of the contributions, 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. Applicants must follow cost-sharing or matching policy as stipulated in 2 CFR 200.306. Funds from other USG awards, including other USG agencies, may **not** be used as cost share.

BUDGET CONDITIONS AND RESTRICTIONS

The U.S. Department of State does not pay for the following (this list is NOT exhaustive):

- Publication of materials for distribution within the United States;
- 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 is received);
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction;
- 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 Department Grants Officer;
- Land; and
- Construction/or renovations.

e) Risk Assessment: The safety and security of recipients and beneficiaries are of utmost importance. WHA requires all applicants to conduct a thorough risk assessment and take all actions necessary in accordance with those assessments to mitigate those risks. WHA does not take responsibility for the risks incurred by any applicants. A sample/suggested risk analysis template is provided in the proposal submission instruction under TAB D.

f) Gender Analysis: Per the **Women, Peace, and Security Act of 2017** and subsequent **U.S. Strategy on Women, Peace, and Security**, it is a U.S. government-wide priority to expand and apply gender analysis, as appropriate, to improve the design and implementation of U.S. government-funded projects. A gender analysis helps consider the different ways in which projects might impact and be impacted by the community, country, and region where activities take place. As such, WHA recommends reviewing and completing the Project Gender Analysis document (one-two page mandatory attachment) listed as TAB C in the PSI document. Once an applicant analyzes challenges, gaps, and opportunities related to gender, this information should be used to tailor and strengthen the application project design and implementation.

g) Additional Optional Attachments

TAB B: BUDGET GUIDELINES

Applications that maximize direct activity costs and 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.

Complete applications will include a detailed line-item budget and budget narrative to clarify and justify individual line-items (i.e. calculations for the per month/year costs , their necessity, and overall contribution to the project's cost-effectiveness).

A minimum three-column summary budget should include the following components, in the suggested format below:

SAMPLE Summary BUDGET
Organization Name
Project Title
Project Duration

		Federal Funds	Cost-Share	Project Total
A	Personnel			
B	Fringe Benefits			
C	Travel			
D	Equipment			
E	Supplies			
F	Contractual			
G	Construction			
H	Other Direct Costs			
I	Total Direct charges			
J	Total Indirect costs			
K	Total Project Cost			

Note: The above is designed to serve as a sample SUMMARY BUDGET (per SF-424 A) for complete budget submissions and is NOT exhaustive. Applicants are required to use the detailed budget template of SF-424A. Individual line items included in the budget should reflect specific project activities.

As mentioned above, the detailed budget should also include an accompanying budget narrative that explains and justifies each line item, in the suggested format below:

LINE-ITEM BUDGET, for additional informational please reference the Budget Guidelines document.

A. Personnel – Identify staffing requirements by each position, title, and brief description of duties for this project. For clarity, list the annual/or monthly 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. A non-federal entity must follow its written entity-wide policies and practices including compensation.

B. Fringe Benefits – State the costs of fringe benefits **separately** from salary costs and explain how benefits are computed for each category of employee – specify type and rate.

C. Travel – Staff and/or Participant travel:

a) International airfare
b) Domestic travel (airfare within the United States or host country)
c) In-country travel (ground transportation within the host country/ies)
d) Per diem/maintenance, which includes lodging and meals and incidental expenses (M&IE) for both participant and staff travel. 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. Rates of maximum allowances for U.S. travel are available at http://www.gsa.gov and foreign per diem rates are available at https://aoprals.state.gov/web920/per_diem.asp.
e) Staff refers to Applicant organization's staff only, and not sub-grantee staff or contractors

D. Equipment – Provide justification for any equipment purchase, defined as tangible personal property having a useful life of more than one year and a **unit cos**t of $5,000 or more.

E. Supplies (project supplies) – List items separately using unit costs to the maximum extent practicable (and the percentage of each unit cost being charged to the grant). Organizations that have supplies as part of their indirect cost pool may not charge them to the grant.

F. Contractual –

a) Sub-Award - For each sub-award, if applicable, please provide a detailed line-item budget breakdown, using the provided budget template, and explaining specific services.

b) Consultant/Outside Expert Fees - Costs may include lecture fees, honoraria, consultant travel, and per diem for outside speakers or independent outside experts for each outside expert **separately**. List the number of people and consultant rates per day (e.g., 2 consultants x $150/day x 2 days).

G. Other Direct Costs – These will vary depending on the nature of the project. The inclusion of each line item should be justified in the budget narrative. Line items, such as equipment or venue rental, photocopying, postage, telephone/fax, or printing, etc. may be included here. All costs must be **allowable, allocable**, and **reasonable** subject to the U.S. Department of State's Grants Officer's review and approval. Line items, such as "Miscellaneous," and "Reserve Fund", or "Various' and "Other" are NOT permitted.

H. Indirect Charges – See 2 CFR 200.414 "Indirect Costs"

1) If the applicant organization has a NICRA with the U.S. Government, please include a copy of this agreement.
2) If the applicant organization applies the 10% de minimis, please indicate the method of its application and provide a calculation of the MTDC.
    - WHA may make conditions and recommendations on proposals to enhance proposed projects. Conditions and recommendations are to be addressed by the applicant before approval of the award. To ensure effective use of WHA funds, conditions or recommendations may include requests to increase, decrease, clarify, and/or justify costs.

TAB C: GENDER ANALYSIS (Mandatory for all Gender-Based Violence proposals)

Per the **Women, Peace, and Security Act of 2017** and subsequent **U.S. Strategy on Women, Peace, and Security**, it is a U.S. government-wide priority to expand and apply gender analysis, as appropriate, to improve the design and implementation of U.S. government-funded projects. A gender analysis helps consider the different ways in which projects might impact and be impacted by the community, country, and region where activities take place.

As such, WHA recommends reviewing the Gender Analysis questions provided below to develop a gender analysis response. Applicants are not required to answer all questions. Applicants should then analyze challenges, gaps, and opportunities related to gender; this information should be used to tailor and strengthen the project design and implementation. For those applicants applying to Gender-Based Violence prevention solicitations, **WHA requires a one-two page mandatory attachment** summarizing the applicant's analysis using the questions listed below for reference.

Gender Analysis Questions

WHA recommends these questions to help identify different ways in which men, women, boys, and girls might be impacted by the project proposal. The applicant's analysis should identify challenges, gaps, and opportunities related to gender, and the resulting answers should be used in the proposal. For example:

- If traditional gender roles exclude men from nursing jobs, but the planned intervention aims to address a need for trained nurses, can activities be designed to get more men into nursing?
- If traditional gender roles and economic stress stops girls from attending school, and the planned intervention aims to increase secondary school attendance and performance, can the activities be designed to close this gender gap?

I. Context and Background

A gender analysis helps consider the different ways in which project activities might impact and be impacted by the community/country/region where the activities and participants are or will be. The following list provides questions to help complete a one-two page gender analysis document; however not all questions are required to be answered.

Domains of Analysis

- **Laws, Policies, Regulations, and Institutional Practices** Are men and women treated equally in legislation, and by official policies and institutions in the country? Are there any laws or policies that address inequality or discrimination, current or past? How could treatment under the law, and by official policies and institutions in the country, impact the work?
- **Cultural Norms and Beliefs** What is expected of men and women in the host country(ies) or region? Do stereotypes help or hurt their engagement in the work? How will the work impact community members in different ways as a result?
- **Gender Roles, Responsibilities and Time Use** (including paid and unpaid work- like care for family members). Who does what? How do gender roles and responsibilities, inside and outside the home, impact equitable participation in the work? How will participation impact success?
- **Access to and Control over Assets and Resources** (including income, employment, and land) Do men and women have equal control over and the capacity to use resources—assets, income, education, social benefits, services, technology—and information necessary to be an active and productive participant in society? If not, how might the work need to adjust to close these gaps?
- **Patterns of Power and Decision-making (**including structural barriers, leadership norms, and entry points). Who decides, influences, and exercises control over material, human, intellectual, and financial resources in the family, community and country? Why? Will women have control over and benefit from assets that may result from participating in the work? Are there any risks associated with disrupting these patterns, even if it's what beneficiaries want?

Cross-Cutting Questions

- **Did the applicant consult organizations/partners with whom it wants to work it?** What do local women's groups and gender equality practitioners think about the work? Have they flagged potential concerns or unintended consequences (for example: increased income increasing a risk of robbery)?
- **How could gender-based violence impact the project?** How can gender-based violence impact participation in, or accessing benefits from, the project? Could anything inadvertently exacerbate gender-based violence? This can include examining rates of domestic violence, sexual violence, early and forced marriage, violence against women online or in politics, etc.
- **What other factors should be considered?** Identity and power, autonomy, and access intersect in different ways to produce empowerment or disempowerment. How do attributes, in addition to gender, determine someone's safety and access to opportunity? Does anything the applicant will do risk negatively exacerbating this? Examples include age, religion, race, ethnicity, tribe, wealth, education, marital status, care of children or elderly, class, sexual orientation, gender identity, geographic location, rural/urban residence, disability status, and nationality.

II. Implementation and Proposals

How and where does the application utilize the gender analysis tin both project design and implementation?

Design

- **Organizational Staffing**
  - o How does the applicant's staff address gender norms, discrimination, and vulnerability in this project?
    - ▪ How does the applicant's organization train staff to help them be sensitive to different local, national, or regional gender norms, and how to interact with those norms?
    - ▪ Are there policies and practices in place if staff or partners are discriminating against others or being discriminated against?
    - ▪ Does the personnel team for this proposal include someone trained in privacy and referrals in cases of GBV?
    - ▪ Is there someone on the personnel team who understands how to reach women and men for different activities (i.e. voter registration)?

o Will staff be trained in assessing and bridging gender gaps within the applicant organization and with possible participants?

o Will staff be a part of, and able to communicate with, the organizations/partners that need to be reached?

- **Stakeholder Participation**
  - o How will the applicant consult with local women and women's groups to ensure that women are active participation in the work?

    - What is the outreach plan to gain access to stakeholders relevant to the success of the work?
    - Which local organizations can help ensure appropriate engagement of all members of a community?
- **<u>Results/Logic Framework</u>**
    - How will gender equality be included in the project's results/logic framework and implementation?
- **<u>Performance Monitoring Plan</u>**
    - How will the applicant monitor, analyze, evaluate, and continuously learn about gender norms, challenges, and opportunities as the applicant implements this project?
    - How will the applicant disaggregate sex among proposed indicators that count people?
    - Does the applicant proposal include gender-specific indicators (USG GNDR standard indicators may help)?

TAB D: RISK ASSESSMENT(Mandatory)

The safety and security of recipients and beneficiaries are of utmost importance. WHA requires all applicants to conduct a thorough risk assessment and take all actions necessary in accordance with those assessments to mitigate those risks. WHA does not take responsibility for the risks incurred by any recipients or beneficiaries. In addition, applicants should consider the implications of the novel coronavirus (COVID-19) on project activities and any possible restrictions on project activities in the WHA region. The risk assessment should include a contingency plan for the various restrictions that may occur due to COVID-19 in WHA countries. The contingency plan should include reviewing what project activities can be done virtually versus in-person meetings and workshops for the next six months to one year. Applicants should consider the following questions for its risk assessment:

1. Are the project activities likely to exacerbate existing tensions or conflicts within the home, between participants or beneficiaries, within or between communities, or otherwise?
2. What gendered issues, including the safety, movement, and access of participants and staff, may arise and how will the applicant mitigate and response to those risks?
3. What are the safeguarding practices and policy to prevent sexual exploitation and abuse of participants by staff and implementing partners?

A sample/suggested risk analysis template is below.

	Description of Risk	Likelihood of Risk	Potential Impact of Risk	Risk Mitigation Plan/Actions
Risks affecting participants *consider risks when gender norms are challenged in implementation*				
Risks affecting stakeholders/community members				
Risks affecting realization of Project Objectives				
Risks affecting realization of Project Outcomes/Outputs				
Risks affecting Organization				
Risks affecting Safety and Security of Personnel				

TAB E: 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
5. (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
8. (8a) Enter the legal name of the applicant organization.
   (8b) Employer/Taxpayer ID Number: Enter applicant-specific number.
   (8c) Unique Entity Identifier (DUNS)
   (8d) Enter the full legal address of the applicant organization
   (8e) Enter the name of the primary organizational unit 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: Bureau (specify)
11. Enter Bureau's CFDA number or DOS Assistance Funding Number -- 19.750
12. Enter the Funding Opportunity Number and title as it appears Grants.gov. This number will already be entered on electronic applications
13. Enter the Competition Identification Number and title. This number will already be entered on electronic applications
14. Areas Affected by Project: List the country or countries where project activities will take place in alphabetical order
15. Enter the title of the proposed project (if necessary, delete pre-printed wording)
16. (16a) Enter Congressional district of Applicant (if foreign applicant, enter 90)
    (16b) Enter: 00
17. Enter tentative projected start date and end date (month and year)
18. (18a) Enter the amount requested for the project under "Federal"
    (18b) Enter any cost-share under "Applicant" otherwise use zeros
19. Enter "c"
20. Select the appropriate box. If the is answer "yes" to this question applicants will be required to provide an explanation
21. Enter the name, title, and contact information of the individual authorized to sign for the application

SF-424A – Please review the detailed instructions below before completing this form online.

Section A - Budget Summary - Complete Row 1
1a. Enter: Bureau (specify) Grants
1b. Enter CFDA/Assistance Funding Number
1c. Leave this field blank
1d. Leave this field blank
1e. Enter the amount of federal funds being requested for this project
1f. Enter the amount of any other non-federal funds planned for this project
1g. Enter the total cost of this project
Rows 2, 3, and 4 may be left blank.

Section B - Budget Categories – Enter total project costs in each category in Column 1 as described below. In Column 5, the form should automatically show the sum. Columns 2, 3, and 4 should be left blank.
6a-h. Enter the amount for each object class category (Include cost share).
6i. Enter the sum of 6a-6h
6j. Enter any indirect charges
6k. Enter the sum of 6i and 6j
7. Enter any program/project income that will be earned as a result of the project. If there is none leave this section blank. Interest earned is **not** program/project income.

Section C - Non-Federal Resources *(Only complete this section if the project includes an applicant cost share or funds from other sources)*
8a. Under Grant Program/Project enter: Bureau (specify)
8b. Enter the proposal cost share amount
8c. Enter the amount of any other funding sources for this project
8d. Leave blank
8e. Enter the total amount for all non-federal resources (the form should automatically show this sum)
Rows 9, 10, and 11 should be left blank.

Section D - Forecasted Cash Needs
13. In the first column enter the amount of federal funds the applicant expects to expend in the project's first year. Forecasted cash 'needs by quarter' are not required.
14. In the first column enter the amount of non-federal funds the applicant expects to expend in the project's first year. Forecasted cash needs by quarter are not required.
15. In the first column enter the sum of 13 and 14 (the form should automatically show this sum). Forecasted cash needs by quarter are not required.

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project
16a. Under Grant Program/Project enter: Bureau (WHA)
16b-e. Enter the amount of federal funds the organization expects to expend in each subsequent year of the project.
Rows 17, 18, 19 should be left blank.
20. Enter the total amount for each year (The form should automatically show this sum.)

Section F - Other Budget Information

21. Enter: Direct Charges **– Leave Blank**
22. Enter: Indirect Charges – If Indirect Charges are shown in Section B 6, enter the type of Indirect Rate used (Provisional, Predetermined, Final, or Fixed)
23. Enter any other explanations or comments deemed necessary.

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Fill in the appropriate fields. Complete applicant organization and title of authorized official sections. The Authorized Official is generally the grant signatory at the organization or institution.

II. APPLICATION REVIEW INFORMATION

The technical applications will be reviewed in accordance with the Technical Review Criteria set forth below. Applicants should organize the narrative sections of their technical applications in the same order as the selection criteria. Technical review 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 an award is not made on the initial applications, WHA may request clarification and supplemental materials from applicants whose proposals have a reasonable chance of being selected for award. The entry into discussion is to be viewed as part of the review process and shall not be deemed by WHA or the applicants as indicative of a decision or commitment upon the part of WHA to make an award to the applicants with whom discussions are being held.

TECHNICAL REVIEW CRITERIA

A technical review committee, using the criteria shown in this Section, will review 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 reviewed 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. Quality of Project Idea (Total Possible 15 points)

- Responsive to the solicitation and appropriate in the country(ies) or region context;
- The proposal clearly states a theory of change;
- The proposal outlines a vision for a "whole of society" approach – meaning the key sectors and actors (e.g. NGOs, local government agencies, women/girls, and youth) who will be the project's key beneficiaries and protagonists;
- The proposal directly connects proposed activities with the desired outcomes, tying back to the project objectives;
- Exhibits originality, prioritizes innovation, but is feasible.

2. Project Planning/Ability to Achieve Objectives (Total Possible 15 points)

- The proposal provides a detailed work plan of proposed project activities and includes a clear articulation of how these activities will contribute to the overall project's goals and objectives;
- Each activity is clearly developed and detailed. Objectives are clear, specific, attainable, measurable, results-focused, and placed in a reasonable time frame;

- The proposal demonstrates a willingness to be flexible and the ability to adapt based on WHA feedback over the course of the project;
- Describes the division of labor among the direct applicant, any partners, and any potential sub-recipients; addresses the planned engagement of support from relevant stakeholders; and identifies local partners where appropriate;
- Includes contingency plans for potential difficulties in executing the original work plan, including for COVID-19.

3. Organizational Capability and Record of Performance (Total Possible 20 points)

- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives;
- Applicant is a current/past U.S. Department of State grantee with a strong track record in Latin America and the Caribbean in the areas of capacity building and addressing the root causes of GBV.

  OR

- The proposal is from a NEW APPLICANT that:
  - Demonstrates capacity for responsible fiscal management;
  - Illustrates success with projects of similar content and size.

4. Gender Analysis, Inclusion, Do No Harm (Total Possible 10 Points)

- Application includes a thoughtful gender analysis and reflects the gender analysis in the project design. It also includes a plan for the iterative use and adaptation of gender analysis through implementation to ensure it advances gender equality and women's empowerment as effectively as possible.
- Application presents an analysis of the needs affecting vulnerable populations, including GBV survivors; integrates these populations, as well as men and boys, in project design and implementation; the proposed project has undertaken and designed implementation based on a gender analysis; and shows concrete outputs and outcomes for project beneficiaries.

5. Cost Effectiveness (Total Possible 10 points)

- The overhead and administration of the proposal, including salaries and honoraria, are explained and justified for the work involved
- All budget items are allocable, reasonable and necessary, and linked to project objectives and demonstrate efficient use of U.S. Government funds
- Personnel costs are reasonable for the work involved

Note: Cost share is not required. Applicants may offer cost share, however cost share will not be considered or factored during the proposal evaluation.

Note: If the applicant organization has a negotiated indirect cost rate agreement (NICRA) and includes NICRA charges in the budget, include the latest NICRA as a pdf file. Organizations that have previously established indirect cost rates must submit timely indirect cost proposals to the cognizant agency as required by Appendix III & IV of 2 CFR 200. If indirect cost proposals have not been submitted for re-negotiation as required, out-of-date NICRAs may not be considered.

6. Performance Monitoring Plan (Total Possible 20 points)

- Narrative explaining the process for monitoring and evaluation and who will be responsible for monitoring and evaluation activities;
- Results/Logic Framework listing by project objectives the output- and outcome-based performance indicators with baselines (if available) and quarterly and cumulative targets; data collection tools; data sources; types of data disaggregation, if applicable; and frequency of data collection;
- Risk assessment listing all potential risks associated with project activities, likelihood of potential risk, potential impact of risks, and potential risk mitigation plans/actions. The risk assessment should also include the plan to protect and secure personally identifiable information, project data, and participants/beneficiaries involved in the project.

7. Multiplier Effect/Sustainability of Impact (Total Possible 10 points)

- Clearly delineates the elements of the project that will have a multiplier effect;
- Clearly delineates whether the impact will be sustainable beyond the life of the grant, including a plan for the long-term capacity building for CSOs and government agencies in Latin America and the Caribbean, and outlining the possibilities for institutionalization of the capacity-building functions with local organizations, governments, centers, etc.
- Reference other donors that may be able to lend support after the end of the life of the project.

COST REVIEW

Costs will be reviewed for reasonableness, allowability, allocability, and cost-effectiveness. The pre-award review 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 that may be unallocable, unreasonable, or unallowable. Applications that have more efficient operational systems that reduce operation costs will be favorably considered on that factor.

Applications that maximize direct activity costs and 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.