U.S. DEPARTMENT OF STATE
Bureau of International Narcotics and Law Enforcement Affairs (INL)
Notice of Funding Opportunity (NOFO)

Announcement Type:	Request for Federal Assistance Award Applications
Funding Opportunity Title:	**Empowering Defense Attorneys, Strengthening Investigative Journalism and Support to the New Constitution Implementation in Uzbekistan**
Funding Opportunity Number:	INL24GR0058-ROL-CriminalJustice-05152024
Program:	Rule of Law / Improving Criminal Justice
Catalog of Federal Domestic Assistance (CFDA) Number:	19.703 - Criminal Justice Systems
Total Funding Available:	$1,500,000 U.S. Dollars
Funding Source:	Post-Funds
Application Ceiling:	Up to $1,500,000 U.S. Dollars
Application Floor:	At least $500,000 U.S. Dollars
Anticipated Number of Awards:	1-3 awards
Initial Project Implementation Length:	18-24 months
Estimated Project Start Date	November 1, 2024
NOFO Issuance Date:	May 15, 2024
Deadline for Submission of Questions:	June 17, 2024 by 11:59 PM EST via email
Deadline for Submission of Applications:	July 17, 2023 by 11:59 PM EST via www.grants.gov
Assistance Type:	Grant
Applicant Types and Eligibility Categories:	Refer to Section C: Eligibility Information for more information.
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BUREAU MISSION

The mission of the State Department's Bureau of International Narcotics and Law Enforcement Affairs (INL) is to keep Americans safe by countering crime, illegal drugs, and instability abroad. The Bureau of International Narcotics and Law Enforcement Affairs (INL) is at the forefront of responding to these challenges, uniting these overarching themes through our foreign assistance programs, diplomatic engagement, and policy coordination.

INL's foreign assistance programs are essential to advancing U.S. policy objectives. INL programs advance the following strategic goals:

1. **Disrupt and reduce illicit drug markets and transnational crime to protect American lives and U.S. national security.**
2. **Combat corruption and illicit financing to strengthen democratic institutions, advance rule of law, and reduce transnational crime and its enablers.**
3. **Strengthen criminal justice systems to support stable, rights respecting partners.**

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A. PROJECT DESCRIPTION

Overview: The Bureau of International Narcotics and Law Enforcement Affairs of the U.S. Department of State announces an open competition for organizations to submit applications to carry out several projects supporting rule of law and justice sector reforms intended to enhance the timely delivery of justice for citizens of Uzbekistan.

Priority Region/Countries: Uzbekistan

Problem Statements:
1. Despite significant legislative reforms aimed at regulating legal advocacy in 2018 in Uzbekistan, defense attorneys often face significant challenges in representing clients due to a lack of an effective adversarial system. The legal framework is predominantly based on an inquisitorial model, where judges and prosecutors play a central role in investigating cases and determining outcomes, while defense attorneys have limited opportunities to challenge evidence or advocate for their clients' rights. This results in an imbalance of power within the legal system, with defense attorneys struggling to effectively represent their clients and ensure fair trials. Furthermore, the legal profession in Uzbekistan suffers from a lack of training opportunities, and independent support networks for defense attorneys. Many practitioners operate in isolation, without access to essential legal resources or opportunities for professional development. As a result, individuals facing legal proceedings often receive inadequate and ineffective representation. Empowering defense attorneys with training, resources, and support is essential to address these systemic challenges and promote a more equitable and just legal system in Uzbekistan.

2. In Uzbekistan, the practice of investigative journalism encounters significant barriers stemming from strict government censorship, media regulations, limited press liberties, and a weak editorial review process. Since gaining independence in 1991, state-controlled media outlets have dominated the media landscape, subjecting independent journalists to harassment, intimidation, and censorship, particularly when covering sensitive topics such as government corruption and human rights violations. Despite these challenges, courageous investigative reporters have managed to uncover stories related to corruption and environmental degradation, often operating discreetly to avoid government scrutiny. Nevertheless, the absence of effective legal safeguards for journalists and a prevailing atmosphere of apprehension have hindered the expansion of investigative journalism. While there is optimism regarding a more transparent media environment under President Shavkat Mirziyoyev's reforms, considerable hurdles remain to enhancing press freedom and fostering journalistic autonomy.

3. The implementation of the new Constitution of Uzbekistan, which came into force on May 1, 2023, represents a significant milestone in the nation's legal and governance framework. This comprehensive overhaul, constituting a 65% renewal of the previous document, introduces substantial changes across key areas of governance. Noteworthy alterations include the reaffirmation of Uzbekistan as a legal, social, and secular state, the direct applicability of the constitution, and the recognition of human rights with restrictions permissible only for the maintenance of social morality and public order. Moreover, the recognition of teachers as a special category, the allowance for private property ownership of land, and the criminalization of obstruction to media activity underscore pivotal shifts in societal and governmental norms. Further changes extend to the structure of public administration, with the presidential term extended to seven years and modifications to local government administration, such as the removal of governors from council chairmanships. Crucially, the constitution now explicitly prohibits the death penalty, safeguards against convictions based solely on confessions, and prohibits the use of unlawfully obtained evidence in judicial proceedings. Despite these progressive reforms, challenges persist in the effective implementation and enforcement of these constitutional provisions, necessitating coordinated efforts across legal, administrative, and societal domains to ensure their full realization.

Project Vision: INL is implementing projects focusing on the rule of law and improving justice. The following are brief descriptions of current projects:

The INL Empowering Defense Attorneys Initiative is an 18-month, $500,000 project with a main goal of strengthening the professional capacities, independence, and role of defense attorneys in Uzbekistan. The project will support efforts to strengthen the independence and equal professional treatment of defense attorneys and to incentivize the courts to operate in a more transparent and adversarial manner. The project will primarily provide assistance to the Chamber of Advocates of Uzbekistan (CoA) to strengthen defense attorneys' performance and exercise a competitive process between prosecution and defense to determine the facts. The project will provide assistance to the CoA and defense attorneys in ensuring access to robust legal representation during the investigative processes. The project will support legal reforms aimed to enhance transparency and accountability within the judicial system, ensuring that defense attorneys have access to all relevant information and resources to mount a comprehensive defense for their clients, whereas the judge serves more as an arbiter between claims of the prosecution and defense.

Project Goal(s) and Objectives:
1. Training and Capacity Building: The grant will support training programs, workshops, and seminars aimed at enhancing the skills and capacity of defense attorneys in the adversarial legal system. Training topics will include trial advocacy, evidence presentation, cross-examination techniques, legal research, and case preparation, empowering legal professionals to effectively represent their clients in court.
2. Access to Legal Resources: Many defense attorneys lack access to essential legal resources, such as case law databases, legal libraries, and research materials. This grant will provide funding to establish and maintain resource centers, online databases, and libraries where legal professionals can access relevant legal precedents, statutes, and research materials to support their cases effectively.
3. Mentorship and Support Networks: Mentorship and peer support are invaluable for professional development and knowledge sharing among legal practitioners. This project includes provisions for mentorship programs, peer-to-peer networks, and mentor matching services, connecting experienced defense attorneys with aspiring advocates to provide guidance, advice, and support in navigating the adversarial legal system.
4. Advocacy and Public Awareness: Promoting public awareness and advocacy for the importance of the adversarial system is essential for its preservation and improvement. This grant will support advocacy campaigns, public forums, and educational initiatives aimed at raising awareness about

the principles of adversarial justice, the role of defense attorneys, and the importance of due process in legal proceedings.

Expected Outcomes:

- Enhanced advocacy and defense skills among legal professionals, leading to improved outcomes for clients in legal proceedings.
- Increased access to legal resources and support services for defense attorneys, ensuring a more level playing field in adversarial litigation.
- Establishment of sustainable mentorship programs and support networks to facilitate ongoing professional development and knowledge sharing within the legal community.
- Raised public awareness and support for the adversarial system, leading to greater respect for due process and fairness in the administration of justice.

Project activities and deliverables:

- Conduct stakeholder consultations with key government officials, legal professionals, civil society organizations, and international partners to identify priority areas for advocacy and reform.
- Develop and disseminate informational materials, including policy briefs, fact sheets, and reports, to raise awareness about the challenges facing the legal profession in Uzbekistan and advocate for policy changes, as required.
- Organize training sessions, workshops, and seminars for lawyers and law students to enhance their skills, knowledge, and understanding of professional ethics and standards.
- Establish partnerships with local and international universities, bar associations, and legal clinics to expand access to legal education and training opportunities for aspiring lawyers.
- Monitor and evaluate the impact of advocacy efforts and reforms on the independence and effectiveness of the legal profession in Uzbekistan.

Participants and Audiences: Primary beneficiaries for this project will be members of the Chamber of Advocates of Uzbekistan, Center for Professional Development of Lawyers under the Ministry of Justice, judges and prosecutors, lawyers, students, and faculty of Tashkent State University of Law.

The INL Investigative Journalism to Combat Corruption is a 18-month $500,000 project aimed at supporting and strengthening the role of investigative journalism in promoting transparency, accountability, and uncovering systemic corruption as well as addressing existing gaps in journalism education. The project will help to reinforce investigative journalism efforts, foster journalistic integrity, and empower journalists to pursue in-depth reporting through capacity building, exchanges of experience, and training. This will help uncover corruption, combat misinformation, and foster a more informed and engaged citizenry.

Project Goal(s) and Objectives:
1. Enhance Investigative Reporting Skills: This project aims to provide training workshops, resources, and mentorship programs to journalists, equipping them with advanced investigative techniques, data analysis skills, and digital security measures to conduct thorough and ethical investigations.

2. Support Investigative Projects: The grant will fund investigative reporting projects that research issues of public interest, such as government corruption, especially in State Owned Enterprises, public procurement, construction, health and education sectors, corporate malfeasance, social injustices, and environmental hazards.

3. Promote Collaboration: Partnership among journalists, news organizations, bloggers, civil society groups, think tanks, and academic institutions is essential for effective investigative reporting. This grant will facilitate partnerships and collaborative efforts to amplify the reach and impact of investigative journalism initiatives.

4. Foster Ethical Standards: Upholding ethical standards and integrity is fundamental to the credibility of investigative journalism. This project will incorporate training on journalistic ethics, fact-checking methodologies, and legal considerations to ensure that investigative reporting adheres to the highest standards of accuracy, fairness, and accountability.

5. Ensure Sustainability: Sustainable funding models are crucial for the longevity of investigative journalism endeavors. This proposal includes plans to establish a sustainable funding mechanism, such as endowments, subscription-based models, or partnerships with sponsor organizations, to support ongoing investigative reporting efforts beyond the grant period.

Expected Outcomes:

- Increased capacity and expertise among journalists in conducting investigative reporting, especially on complex corruption cases.
- Production of high-impact investigative stories that catalyze public discourse and drive positive social change.
- Strengthened networks and collaborations within the investigative journalism community.
- Establishment of sustainable funding mechanisms to support long-term investigative reporting initiatives.
- Enhanced public trust in journalism through adherence to ethical standards and transparency in reporting practices.

Project activities and deliverables:

- Organize training workshops on investigative techniques, data analysis, and digital security measures.
- Provide access to online resources, databases, and investigative journalism toolkits.
- Facilitate mentorship programs where local and foreign experienced journalists mentor aspiring investigative reporters.
- Conduct practical exercises and case studies to reinforce learning.
- Solicit proposals from journalists and media organizations for investigative reporting projects.
- Establish a selection committee to evaluate project proposals based on impact, relevance, and feasibility.
- Conduct networking events, seminars, and conferences to bring together journalists, news organizations, civil society groups, and academia.
- Facilitate partnerships between journalists and organizations working on related issues.

- Create online platforms or forums for collaboration, knowledge sharing, and resource exchange.
- Conduct research on sustainable funding models for investigative journalism initiatives.
- Explore partnerships with philanthropic organizations, media foundations, or corporate sponsors interested in supporting investigative reporting.
- Offer training sessions on journalistic ethics, including principles of accuracy, fairness, and accountability.
- Provide resources on fact-checking methodologies and legal considerations relevant to investigative reporting.

Participants and Audiences: Journalists: Both investigative journalists and aspiring reporters interested in developing their skills; Media organizations: editors and staff from independent media outlets or newsrooms committed to investigative reporting; Civil society groups: activists and bloggers, citizen journalists, advocates, and NGOs working on issues relevant to investigative journalism, such as human rights, corruption, climate risk and environmental matters, and transparency; Academic institutions: professors, researchers, and students studying journalism, media studies, or related fields; Legal experts: lawyers and legal scholars specializing in media law, freedom of expression, and human rights law; Technologists: professionals with expertise in digital security, data analysis, and information technology relevant to investigative journalism. Engaging a diverse range of participants and audiences ensures that the project has broad support, fosters collaboration, and maximizes its impact in promoting transparency, accountability, and social justice through investigative journalism in Uzbekistan.

The INL Supporting New Constitution Implementation is a 18-month, $500,000 project aiming to facilitate the effective implementation and integration of the reformed constitutional framework into Uzbekistan's legal, administrative, and societal structures. This initiative aims to provide comprehensive support and resources to ensure that the principles, rights, and provisions outlined in the new constitution are upheld and enforced across all levels of governance. Key objectives may include legal reforms to align existing laws with constitutional mandates, capacity-building initiatives to enhance administrative institutions' ability to enforce constitutional provisions, and public awareness campaigns to educate citizens about their rights and responsibilities under the new constitution. Additionally, the project may focus on fostering dialogue and collaboration between government entities, civil society organizations, and international stakeholders to promote transparency, accountability, and the rule of law in Uzbekistan's democratic transition.

Project Goal(s) and Objectives:
1. Facilitate Legal Reforms: Support drafting and advocating for legislative changes that align existing laws with the principles and provisions of the new constitution of Uzbekistan, ensuring legal coherence and consistency in the country's legal framework.
2. Strengthen Institutional Capacity: Provide training, technical assistance, and resources to governmental institutions responsible for enforcing constitutional provisions, enhancing their ability to administer justice, protect human rights, and uphold the rule of law effectively.
3. Promote Public Awareness and Participation: Develop and implement outreach campaigns, educational programs, and civic engagement initiatives to raise awareness among citizens about their rights and responsibilities under the new constitution, fostering active participation in democratic processes and promoting a culture of constitutionalism and accountability.

Expected Outcomes:

- The commentary to the new constitution has been drafted, adopted, and disseminated which provides clear guidance and assistance in interpreting and clarifying the legal provisions, principles, and intentions underlying the constitutional text.
- Increased adherence to the principles and provisions of the new constitution leads to a more robust legal framework, fostering greater certainty, predictability, and fairness in the administration of justice and governance processes.
- Improved capacity of governmental institutions to enforce constitutional mandates results in more effective governance, increased transparency, accountability, and responsiveness to the needs and rights of citizens.
- Heightened public awareness and understanding of constitutional rights and responsibilities empower citizens to actively engage in democratic processes, advocate for their rights, and hold government accountable for upholding constitutional principles and protecting fundamental freedoms.
- Alignment of existing laws with constitutional provisions creates a conducive legal environment for economic development, investment, and social progress, fostering stability and prosperity in Uzbekistan.
- Successful implementation of the new constitution demonstrates Uzbekistan's commitment to democratic reforms, human rights, and the rule of law, enhancing its standing in the international community and fostering closer partnerships with other nations and international organizations.

Project activities and deliverables:

- Support appropriate host government organizations in drafting the commentary to the new constitution by providing expert guidance and assistance in interpreting and clarifying the legal provisions, principles, and intentions underlying the constitutional text. This process may entail collaboration with legal scholars, constitutional experts, and relevant stakeholders to ensure comprehensive coverage and accuracy in the commentary.
- Support in introduction and application of the commentary by disseminating the document to relevant stakeholders, including government officials, legal professionals, civil society organizations, and the general public. This may be accompanied by training sessions, workshops, and educational programs to familiarize stakeholders with the commentary and its significance in understanding and implementing the new constitution.
- Collaborate with civil society organizations to monitor electoral processes, ensure transparency, and address barriers to participation.
- Develop and implement comprehensive training programs for law enforcement officers and judicial officials on human rights principles, including topics such as non-discrimination, due process, and the prohibition of torture.
- Expand access to legal aid services by establishing legal aid clinics in underserved areas and providing training for legal assistants (paralegals) and community volunteers.
- Support the Anti-Corruption Agency to implement measures to protect whistleblowers.
- Introduce transparency measures in government decision-making processes, such as mandatory disclosure of government contracts and budgets, and the publication of officials' asset declarations.
- Strengthen mechanisms for citizen oversight and engagement, including the establishment of citizen advisory boards and the implementation of feedback mechanisms for public services.

- Establish data collection mechanisms to gather information on key performance indicators, including surveys, focus group discussions, and administrative data collection systems.
- Conduct regular assessments and evaluations to review progress, identify challenges, and make adjustments as necessary to ensure the project's effectiveness.
- Disseminate findings from monitoring and evaluation activities to stakeholders through reports, presentations, and other communication channels to promote transparency and accountability.

By implementing these specific activities, the new constitution implementation project in Uzbekistan can make meaningful progress towards achieving its goals and objectives, ultimately contributing to the advancement of democracy, human rights, transparency, and accountability in the country.

Participants and Audiences: The Institute for Legislation and Legal Policy (ILLP) under the President of Uzbekistan, Ministry of Justice, Constitutional Court, Anti-Corruption Agency, Civil Society Organizations (CSOs), legal aid NGOs, election monitoring groups, advocacy groups, lawyers and legal scholars, judges and prosecutors, general public, citizens of Uzbekistan, beneficiaries of public awareness campaigns and educational programs on constitutional rights and responsibilities, community leaders.

Projects Expansion: If the project(s) is/are successful, INL will consider the option of an award modification to expand the project to other areas or countries in the region, subject to availability of future funding. Applicants may include in their proposal a brief section outlining how additional funds could potentially be used to expand work into additional activities or countries in future years. Applicants are strongly encouraged to demonstrate how their project might leverage funding through other organizations.

B. FEDERAL AWARD INFORMATION

Applicants are encouraged to reference the table on the first page(s) of this NOFO to determine the basic federal award information (e.g., project length, amount of funding available, anticipated number of awards, assistance type, etc.). Additional award information is included in this section, although specific aspects of the award(s) issued from this NOFO may differ from program to program.

1. Project Implementation Period

The initial project implementation length is the amount of time (e.g., months) applicants should plan to implement the project. If a range of months is listed, applicants should propose a realistic project length within that range.

INL may extend the project implementation period, contingent on INL priorities, good performance of the recipient, Department of State management approvals, and funding availability. INL projects shall not exceed three (3) total years of project implementation.

2. Assistance Type
The type of assistance is determined by scope of INL's involvement in the implementation of the project. Refer to the table on the first page(s) of the NOFO to determine whether this particular project will be a grant or cooperative agreement.

3. Funding Notices
This award will be supported with **International Narcotics Control and Law Enforcement (INCLE)** funds under the Foreign Assistance Act of 1961. This notice is subject to availability of funding.

Length of performance period: 18-24 months
Anticipated program start date: November 1, 2024
Number of awards anticipated: 1-3 awards (dependent on amounts)
Award amounts: awards may range from a minimum of $500,000 to a maximum of $1,5 00,000
Total available funding: $1,500,000
Type of Funding: FY20/21 INCLE Funds under the Foreign Assistance Act

C. ELIGIBILITY INFORMATION

1. Eligible Applicant Types
The following organizations are eligible to apply:
- U.S.-based non-profit/non-governmental organizations (NGOs);
- U.S.-based educational institutions subject to section 501(c)(3) of the U.S. tax code or section 26 US 115 of the U.S. tax code;
- Foreign-based non-profits/non-governmental organizations (NGOs);
- Foreign-based educational institutions

2. Cost Sharing or Matching
Cost share is the portion of project costs not borne by the U.S. government. Cost share is recommended but <u>not required</u> for this project. **Applicants must be able to ensure cost share is accounted for/tracked through accounting systems and/or supporting documentation (such as Personnel Activity Records, proof of voluntary hours, proof of any purchases for materials being included as cost share, etc.)**

Any cost share proposed must be appropriately captured within the SF-424A, budget, and budget narrative.

3. Other Eligibility Requirements
- In order to be eligible to receive an award, all organizations must have a unique entity identifier (also known as UEI), as well as a valid registration on www.SAM.gov. Individuals are not required to have a unique entity identifier or be registered in SAM.gov. Refer to Section D for additional guidance.
- Applicants are only allowed to submit one proposal per organization. Organizations may form a consortium and submit a combined proposal, however one organization should be designated as the lead applicant and other organization(s) listed as sub-recipient partner(s).

- To be eligible to receive a federal assistance award, organizations must have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. INL is committed to an anti-discrimination policy in all of its programs and activities. INL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status.
- 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.

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

D. APPLICATION AND SUBMISSION INFORMATION

Applicants should carefully follow all instructions in this section to ensure their application is formatted properly and includes all required documents. Proposals that do not meet the requirements of this announcement or fail to comply with the stated requirements will be deemed ineligible for review.

1. How to Apply and Submit Questions

This opportunity is posted on www.grants.gov, along with all required application forms and, where applicable, templates for application documents. Applications and all supporting documents must be submitted via www.grants.gov. INL reserves the right to reject any applications submitted through improper channels.

Applicants are encouraged to closely review the NOFO and email questions to the INL points of contact by the deadline listed on the first page(s) of this document. After the question deadline has passed, INL will respond to all questions publicly through a Questions & Answers document uploaded to the Related Documents tab of this opportunity.

2. Required Application Documents

All documents in the following list must be included in your application, unless explicitly listed as optional. If a document includes a page limit, please adhere to that limit in your application. Applicants that do not submit all required documents will be notified via email of their ineligibility after the application deadline.

Standard Application Forms

☐ **SF-424 (Application for Federal Assistance – Organizations)**
Must be signed by an authorized signatory of the applicant's organization.

☐ **SF-424A (Budget Information for Non-Construction Programs)**

☐ **SF-424B (Assurances for Non-Construction Programs)** – *Optional*

The SF-424B is only required for applicants who are <u>not</u> registered in SAM.gov.

<u>Project Proposal</u>
The proposal should contain sufficient information that anyone not familiar with it would understand exactly what the applicant is proposing to do. The following documents may be submitted separately or combined into one document. If combined, please be sure to adhere to the page limits for each section.

☐ **Proposal Narrative** (Recommended page limit: 20)
Applicants may use their own proposal template, but it must include all the sections below. Refer to Appendix <u>A</u> for additional guidance on drafting a proposal narrative.

- **Cover Page:** include organization name, project title, requested number of months, target country(ies), point(s) of contact, and requested funding amount.
- **Table of Contents:** list all documents and attachments with page numbers.
- **Executive Summary:** Provide a synopsis of the project.
- **Project Context:** Include an analysis of the issue to be addressed, including why it is important to address, what the main causes of the issue are, and who has power to effect change on the issue; suggested approaches and solutions (with evidence to support suggestions); and suggestions for revision to NOFO goals and objectives if needed.
- **Theory of Change & Implementation Plan:** Describe the implementation plan (specific activities to implement suggested solutions); explain how or why they should result in accomplishment of the project goals and objectives (i.e., the theory of change). Projects should be designed such that activities, if implemented according to plan, should result in achievement of program objectives; and objectives, if achieved, should result in achievement of program goals. The Theory of Change should clearly demonstrate this causal logic. Finally, discuss likely challenges to implementation, including any risks of harm to project implementers or participants, along with mitigation strategies.
- **Gender, Equity, and Inclusion Analysis:** Include in your proposal an analysis that addresses the ways in which women, gender diverse persons, and members of other marginalized and underrepresented groups (as specified in the "Participants and Audiences" section above) might affect and be affected differently by your work, including a consideration of their safe and meaningful participation. Strengthen your proposal by incorporating the results of this gender, equity and inclusion analysis into your project design. Include a description of how you will minimize any inequities and identified potential risks.
- **Description of Prior Work:** Provide brief descriptions, including outcomes and deliverables, of any similar projects the organization has implemented.
- **Future Funding Plan/Sustainability:** Briefly discuss the plan for ensuring the sustainability of the project (i.e., that the project continues to have impact beyond the grant period) or note if sustainability is unlikely without continued support. Applicants may also include a brief section outlining how additional funds could potentially be used to expand work into additional activities or countries beyond the initial project period.

☐ **Performance Monitoring Plan**
See Appendix A for more details and instructions. Applicants **<u>MUST</u>** submit the following:

- **Change Map (see template) or equivalent**

- **Illustrative Performance Indicator Reference Sheet (see template)**

Note 1: If full performance monitoring information is not available at the time of the proposal, applicant should indicate that the indicators and associated information are notional. If selected, a final version of the documents will be required as an early deliverable.

Note 2: Reporting of performance narratives and indicator data in INL's DevResults database is required once project implementation is underway.

☐ **Project Risk Analysis**
A template is included under the Related Documents section of this NOFO announcement on www.grants.gov. Refer to Appendix B for additional guidance on drafting a Project Risk Analysis.

☐ **Timeline**
Outline key milestones in the project, project start-up, and closeout, programmatic activities, and monitoring and evaluation activities (e.g., monitoring trips or semi-annual reviews). May be a written schedule and/or a GANTT chart.

<u>Organization, Staff, and Partners</u>
The following documents may be submitted separately or combined into one document. If combined, please be sure to adhere to the page limits for each section.

☐ **Biographical Information of Applicant Organization** (Recommended page limit: 4)
− Introduce the applicant organization, including biographical information such as mission statement, organization size, relevant office location(s), etc.
− Provide a summary description of past and present operations, demonstrating the applicant's ability to carry out the project
− Describe any experience the organization has in the target country or region
− Confirm whether the organization is a registered business entity within the target country or region

☐ **List of Key Personnel** (Recommended page limit: 3)
− Names, titles, responsibilities, and relevant experience or qualifications of key personnel involved in the management of the project

☐ **Partner Information** (Recommended page limit: 3) (if sub-grantee is
− Introduce and provide relevant information about key partner organizations and sub-awardees
− Briefly describe the division of labor and/or distinct roles and responsibilities among the applicant organization and its partners
− If proposing a sub-grantee, please briefly describe the applicant organization's experience related to managing sub-recipients

☐ **Letters of Support** – *Optional*
− If desired, applicants may submit letters of support from project partners, host government entities, or other relevant stakeholders

Project Budget and Cost Documents

☐ **Summary and Detailed Budgets**

A proposal budget must be submitted in spreadsheet format (e.g., Microsoft Excel). A template is located under the Related Documents section of this NOFO announcement on www.grants.gov for applicants as a reference. Refer to Appendix C for additional guidance on drafting a proposal budget.

− One tab of the spreadsheet shall contain the Summary Budget, which lists the OMB-approved budget categories and total estimated cost per category

− One tab of the spreadsheet shall contain the Detailed Budget, which breaks down the OMB-approved budget categories into individual line items and provides detailed cost estimates per line item

− If applicable, federal costs and recipient cost share must be reported in separate columns

☐ **Budget Narrative**

The Budget Narrative is a companion document to the summary and detailed budgets, and must be submitted in word document format. A template is included under the Related Documents section of this NOFO announcement on www.grants.gov. Refer to Appendix C for additional guidance on drafting a Budget Narrative.

− The Budget Narrative should communicate to INL any budgetary information that is not readily apparent in the detailed budget. Rather than simply repeating with words what is stated numerically in the budget, the Budget Narrative should explain the logic behind the amount budgeted for each line item

− If applicable, proposed recipient cost share must be included in the Budget Narrative, including reference to the source of the cost share

☐ **Indirect Costs**

Negotiated Indirect Cost Rate Agreement (NICRA):

− If the applicant has an approved Negotiated Indirect Cost Rate Agreement (NICRA) and includes NICRA charges in the budget, a copy of the organization's most-recent NICRA ***must*** be included in the application

− If the applicant is proposing a sub-grantee that has an approved NICRA, and includes NICRA charges in the sub-award budget, a copy of the sub-grantee organization's most-recent NICRA ***must*** be included in the application

10% de minimis Rate:

− The applicant can elect to charge a de minimis rate of 10% of modified total direct costs (MTDC), which is allowable if the organization does not have a current agreement. (*Please see Appendix C: Budget and budget narrative for more information regarding the 10% de minimis rate*.)

Applicant Management Capabilities

INL must assess each potential applicant for organizational risks related to the financial and programmatic management of a federal assistance project.

☐ **History of U.S. Government Federal Assistance Awards**

This document outlines the applicant organization's experience with implementing U.S. government-funded federal assistance awards, including current and completed projects.

− The list should include the awarding agency, point of contact, name of the project, start and end dates, and amount of the award.

− If the applicant has never received a U.S. federal assistance award, please list other projects the organization has implemented, including the information requested in the bullet above.

☐ **Organizational Audit**

− If the applicant organization is required to undergo an audit (per regulations outlined in 2 CFR 200.500 – Subpart F), a complete copy of the organization's most-recent audit must be submitted. (The financial statement is not a substitute for a single audit report. The Single audit report is an additional requirement for domestic and foreign organizations that spend $750,000 or more in federal funds in the fiscal year.)

− If the applicant organization is not required to undergo an audit (per the regulation cited above), a brief explanation must be submitted with the application. This explanation shall include confirmation that the organization is under the threshold for which an audit is required and/or plans for the organization to undergo an audit in the future.

− Responses to the Pre-Award Risk Survey in reference to the Organizational Audit does not satisfy this requirement. Please provide the required explanation in addition to the Pre-Award Risk Survey.

☐ **INL Applicant Pre-Award Risk Survey**

This risk survey reviews the applicant organization's financial capacity, policies, and infrastructure. A template is included under the Related Documents section of this NOFO announcement on www.grants.gov.

− Please take note of the questions within the survey that request additional documentation. These documents must be included in the application.

3. Document Formatting

Applicants must ensure that their application documents conform to the following requirements:

☐ The proposal clearly addresses the goals and objectives of this funding opportunity

☐ All documents are in English

☐ All budgets are in U.S. dollars

☐ All pages are numbered

☐ All documents are formatted to 8 ½ x 11 inch paper, and

☐ All Word documents are, at minimum, single-spaced with 12 point Times New Roman font and 1-inch margins

4. Required Entity and Account Registrations for Applicants

All prospective applicant organizations must register and/or maintain active registration in the systems outlined below in order to submit an application to this NOFO.

Organizations that are first-time applicants may need to register and/or create accounts in these systems. INL encourages prospective applicants to initiate these registrations as soon as possible.

Applicants that have previously applied to other opportunities may already have registrations and/or accounts in the necessary systems, though applicants should ensure their registrations are active.

Registration in these systems is free of charge; Applicants will never be asked to pay a fee to register or submit an application in these systems.

Unique Entity Identifier

Organizations must have a UEI which will be automatically assigned by SAM.gov.

- If your organization does not have a UEI already, you may obtain one by calling 1-866-705-5711 or submitting a request at http://fedgov.dnb.com/webform.

Effective April 4, 2022, the DUNS Number will be replaced by the Unique Entity Number (UEI) as the primary means of entity identification for all federal awards U.S. government wide. A DUNS number is no longer required for federal assistance applications. For more information, please go to the following link: https://www.fsd.gov/gsafsd_sp

NCAGE Code

Organizations physically located outside the United States and its territories must also register for an NCAGE code. This request can be completed simultaneously with a UEI request. (Note: CAGE codes for US-based entities will be automatically assigned in SAM.gov).

- NCAGE application: https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx
- NCAGE application instructions: https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf

Help with NCAGE Code registration issues:

- Call 1-888-227-2423 (callers within the U.S.)
- Call 1-269-961-7766 (callers outside the U.S.)
- Email NCAGE@dlis.dla.mil

System for Award Management (SAM.gov)

Prior to submitting an application in grants.gov, organizations must register in SAM.gov and/or ensure that their SAM.gov registration is active. Organizations are required to renew their SAM.gov registration annually.

- Initiate the registration or renewal process at https://www.SAM.gov. Select "Entity Registration" to begin the registration or renewal request.
- First-time applicants should initiate the SAM.gov registration after receiving their UEI and, if applicable, NCAGE Code (for foreign organizations). CAGE codes will be automatically assigned to US-based organizations.

Note: The process of obtaining or renewing a SAM.gov registration may take anywhere from 4-8 weeks. Please begin your registration as early as possible.

- Organizations **based in the United States** or that pay employees within the United States will need an Employer Identification Number (EIN) from the Internal Revenue Service (IRS), a Commercial and Government Entity (CAGE) code, and a UEI number prior to registering in SAM.gov.
- Organizations **based outside of the United States** and that do not pay employees within the United States do not need an EIN from the IRS, but do need a UEI number prior to registering in SAM.gov. **Please note that as of December 2022, organizations based outside of the United States that do not intend to apply for U.S. Department of Defense (DoD) awards are no longer required to have a NATO CAGE (NCAGE) code to apply for non-DoD foreign assistance funding opportunities. If an applicant organization is mid-registration and wishes to remove an NCAGE code from their sam.gov registration, the applicant should** submit a help desk ticket ("incident") **with the Federal Service Desk (FSD) online at** www.fsd.gov **to seek guidance on how to do so.**

Any applicant listed on the Excluded Parties List System (EPLS) in SAM.gov is not eligible to apply for an assistance award. Additionally, no entity listed on the EPLS can participate in any activities under an award. All applicants are strongly encouraged to review the EPLS in SAM.gov to ensure that no ineligible entity is included in their proposal.

NOTE: As of April 2021, any new or renewed SAM.gov registrations were given a Unique Entity Number (UEI). UEI does not expire, however you must renew your SAM.gov registration annually.

For more information regarding the transition from UEI (DUNS) to UEI (SAM), please click on the following link: https://www.fsd.gov/gsafsd_sp

D.3.1 Exemptions

An exemption from these requirements may be permitted on a case-by-case basis if:

- An applicant's identity must be protected due to potential endangerment of their mission, their organization's status, their employees, or individuals being served by the applicant.
- For an applicant, if the Federal awarding agency makes a determination that there are exigent circumstances that prohibit the applicant from receiving a unique entity identifier and completing SAM registration prior to receiving a Federal award. In these instances, Federal awarding agencies must require the recipient to obtain a unique entity identifier and complete SAM registration within 30 days of the Federal award date.

Organizations requesting exemption from UEI or SAM.gov requirements must email the point of contact listed in the NOFO at least **two weeks prior to the deadline in the NOFO providing a justification of their request**. Approval for a SAM.gov exemption must come from the warranted Grants Officer before the application can be deemed eligible for review.

Note: As of December 2022, organizations based outside of the United States that do not intend to apply for U.S. Department of Defense (DoD) awards are no longer required to have a NATO CAGE (NCAGE) code to apply for non-DoD foreign assistance funding opportunities.

Grants.gov

To submit an application to this NOFO, applicants must register in grants.gov.

- Go to www.grants.gov and select "Register" from the banner at the top of the page.
- This should be the last step of the entity registration processes, completed after obtaining a UEI number, NCAGE/CAGE Code (if applicable), and SAM.gov registration.

Help with grants.gov registrations and application submission:

- Go to the grant.gov support page at https://www.grants.gov/web/grants/support.html
- Call +1 800-518-4726
- Email support@grants.gov

It is the responsibility of each applicant to ensure that its application was submitted in www.grants.gov correctly. INL bears no responsibility for errors resulting from transmission or conversion processes associated with application submissions. If applicants are unable to resolve technical issues in the system, they should email the INL points of contact listed on the first page(s) of this NOFO with an explanation of the issue and proof of attempts to resolve it (e.g., emails with grants.gov support). INL Grants Office will then determine whether the applicant is allowed to submit application materials via email.

E. APPLICATION REVIEW INFORMATION

1. Technical Evaluation Criteria

A technical evaluation committee, using the criteria shown in this Section, will evaluate the 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.

Project Analysis & Design – Total Possible Points: 50

- Analysis of the problem is insightful and accurate. Insightful analysis includes a thorough discussion of the main causes and scope of the issue the project seeks to address and discussion of who has power to effect change on the issue (10)
- Suggested approaches and solutions (i.e., the theory of change) are: (10)
  - Based on good evidence; and
  - Appropriate given the problem, its causes, and its scope
- Proposed implementation plan is: (12)
  - Aligned with suggested approaches and solutions

- Feasible given timeline, resources, and context
- Designed such that activities, if implemented according to plan, should result in achievement of program objectives; and objectives, if achieved, should result in achievement of program goals

- Proposal includes a gender, equity, and inclusion analysis addressing the ways in which women, gender diverse persons, and members of other marginalized and underrepresented groups, including those with intersecting aspects of identity, might affect and be affected by this project, (3)
- Description of likely challenges to implementation plan, including risks of harm to organization staff, project participants, and/or others, is thorough and mitigation strategies are appropriate (8)
- Applicant considers the gender, equity, and inclusion analysis as part of risk assessment by identifying possible risks to participants as a result of their participation in line with Do No Harm principles. (2)
- Analysis and planning for sustainability is realistic (5)

Program Monitoring and Risk – Total Possible Points: 25

- Change Map includes indicators for each goal and objective; and proposed indicators are useful for decision making, accurate in measuring the intended result, reliable, and timely (10)
- Illustrative Indicator Reference Sheet includes selected standard indicators; provides three valid indicators for goals, objectives, or sub-objectives in the change map; and demonstrates a thorough plan for data collection (10)
- Risk assessment is thorough and realistic, addresses challenges in the operating environment, and proposes adequate strategies to mitigate risks to the project (5)

Institution’s Record and Capacity Rating – Total Possible Points: 10

- The applicant demonstrates an institutional record of successful programs in the proposed country/region and program area (2)
- Professional experience of staff and institutional resources are adequate and appropriate to achieve the project's objectives (2)
- The roles and responsibilities are clearly delineated among staff and partners (2)
- Applicant is a current/former INL grantee and they successfully manage/managed the project OR the applicant has not worked with INL previously and demonstrates experience in managing similar-sized projects (2)
- Applicant submits copies of organization-wide policies and procedures on Preventing Sexual Exploitation and Abuse or explains how the applicant plans to develop such policies, which should also apply to sub-grantees. (2)

Cost Effectiveness – Total Possible Points: 15

- Activity-related costs are realistic, appropriate, and clearly linked to project objectives (5)
- Personnel costs (e.g., staff salaries, contractor rates, and honoraria) are reasonable given the amount of work and oversight needed to manage the project (5)
- Administrative costs (e.g., staff travel, supplies, office costs) are necessary, justified, and in good proportion to direct activity costs (5)

2. Review and Selection Process

INL first reviews all submitted applications for technical eligibility, based on the list of required documents in Section D: Application and Submission Information. All technically eligible applications are then passed to a review committee, which will evaluate the applications against the Technical Evaluation Criteria listed in the previous sub-section. The application(s) selected by the review committee are then presented to INL management and the Grants Officer for approval.

INL will notify successful applicant(s) via email and pass along any conditions, recommendations, or questions from the review committee. INL will notify unsuccessful applicants via email after an award has been issued to the successful applicant(s); therefore this notification process may take several months.

INL reserves the right to fund any number of applications or none of the applications submitted and will determine the resulting level of funding for each award(s).

3. Federal Awardee Performance & Integrity Information System (FAPIIS)

For all awards with a federal total exceeding $250,000, INL is required to review and consider any information about the applicant in FAPIIS.

Organizations are able to review and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system, accessible through SAM.gov. INL will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when conducting pre-award due diligence.

F. AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

The grant award or cooperative agreement will be written, signed, awarded, and administered by the Grants Officer. The DS-1909 award agreement is the authorizing document and will be provided to the recipient for review and signature via email or SAMS Domestic. The recipient may only start incurring program expenses beginning on the official project start date, unless pre-award costs are authorized in the award agreement.

If a proposal is selected for funding, the Department of State has no obligation to provide any additional future funding. Renewal of an award to increase funding or extend the period of performance is at the discretion of the Department of State.

Issuance of this NOFO neither constitutes 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 proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

2. Administrative and National Policy Requirements

Before submitting an application, applicants should review all the terms and conditions and that will apply to this award to ensure that they will be able to comply. These include, but may not be limited to:

- 2 CFR 25 - UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT
- 2 CFR 170 - REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION
- 2 CFR 175 - AWARD TERM FOR TRAFFICKING IN PERSONS
- 2 CFR 182 - GOVERNMENTWIDE REQUIREMENTS FOR DRUG-FREE WORKPLACE (FINANCIAL ASSISTANCE)
- 2 CFR 183 - NEVER CONTRACT WITH THE ENEMY
- 2 CFR 200 – UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS
- 2 CFR 600 – DEPARTMENT OF STATE REQUIREMENTS
- U.S. DEPARTMENT OF STATE STANDARD TERMS AND CONDITIONS

INL will review and consider applications in accordance with the Office of Management and Budget's guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance. This may include, but is not limited to:

- Guidance for Grants and Agreements in Title 2 of the Code of Federal Regulations (2 CFR), as updated in the Federal Register's 85 FR 49506 on August 13, 2020, particularly on:
  - Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR part 200.205)
  - Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (2 CFR part 200.216)
  - Promoting the freedom of speech and religious liberty in alignment with *Promoting Free Speech and Religious Liberty* (E.O. 13798) and *Improving Free Inquiry, Transparency, and Accountability at Colleges and Universities* (E.O. 13864) (2 CFR parts 200.300, 200.303, 200.339, and 200.341)
  - Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR part 200.322)
  - Terminating agreements in whole or in part to the greatest extent authorized by law, if an award no longer effectuates the program goals or agency priorities (2 CFR part 200.340)

3. Program-Specific Requirements

<u>State Department Leahy Amendment Vetting Requirements</u>

Funds provided under this award will be 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.

The recipient will be required 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 required 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.

4. Reporting Requirements

Recipient Reports

Recipients will be required to submit financial reports and program narrative reports. The award document will specify how often these reports must be submitted.

Applicants should be aware of the post-award reporting requirements reflected in 2 CFR 200 Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters.

Foreign Assistance Data Review

As required by Congress, the Department of State must make progress in its efforts to improve tracking and reporting of foreign assistance data through the Foreign Assistance Data Review (FADR). The FADR requires tracking of foreign assistance activity data from budgeting, planning, and allocation through obligation and disbursement. Recipient(s) will be required to report and draw down federal funding based on the appropriate FADR Data Elements, indicated within their award documentation. In cases of more than one FADR Data Element, the successful applicant will be required to maintain separate accounting records.

APPENDIX A: PERFORMANCE MONITORING PLAN

Monitoring is the ongoing collection and analysis of information to inform project management and decision making. A monitoring plan is an agreement between stakeholders about how, when, and by whom the intervention's results will be measured, and how measurement will inform decisions.

Requirements for INL Performance Monitoring are met through three documents:

1. Change Map;
2. Performance Indicator Reference Sheet; and
3. Performance Monitoring Reports (during the period of performance).

The Change Map shows the links between project goals, objectives, and activities, as well as which goal, objective, or activity each indicator is intended to monitor. A complete Change Map is a required component of a project proposal, though all elements can be modified over the life of the project.

The Performance Indicator Reference Sheet (PIRS) provides detailed information for each indicator, including baseline and target values. An illustrative PIRS, defining three indicators and using notional data as needed, is a required component of a project proposal. A complete PIRS, with full information for every indicator, is required as an early project deliverable. The PIRS may be modified as needed over the life of the project.

The Performance Monitoring Reports provide information throughout the life of the project about the progress of project implementation and performance against indicator targets. INL and the Grantee will agree upon the quarterly reporting procedures and templates when the Statement of Work is finalized. No documents related to the Performance Monitoring Reports are needed at the time of the proposal.

APPENDIX B: PROJECT 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 project in the application, rate the likelihood of the risks, rate the potential impact of the risks on the project, 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 incorporate all assumptions and external factors identified in the Monitoring Plan and Proposal Narrative into the risk analysis. Applicants should rate the likelihood of a risk and potential impact of the risk as “high”, “medium”, or “low.”

The safety and security of recipients and beneficiaries are of utmost importance. INL requires all recipients to conduct thorough risk assessments and take all actions necessary in accordance with those assessments to mitigate those risks. INL does not take responsibility for the risks incurred by any recipient.

INL has included a template for the Project Risk Analysis in the Related Documents tab of the NOFO announcement on grants.gov. For more information about the Risk Analysis, please see 2 CFR 200.519.

APPENDIX C: BUDGET AND BUDGET NARRATIVE

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.

A. Budget Proposal

Complete budget proposals should include a Summary Budget; Detailed Budget; and Sub-recipient Detailed Budget(s), if applicable. The Summary Budget and Detailed Line-Item Budget should be combined in one spreadsheet document. They should be organized according to the OMB-approved budget categories:

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Contractual
- Construction
- Other Direct Costs
- Indirect Costs

If proposing sub-recipient(s), applicants should include detailed sub-recipient budget(s) as additional tabs within the budget spreadsheet. These budgets should follow the same formatting as the primary budget proposal, including all OMB-approved budget categories.

B. Budget Narrative

The Budget proposal provides a numeric-based description of costs under the project. The Budget Narrative is a critical companion document to the Budget that provides numeric and narrative descriptions of each cost item included in the Budget.

All costs included in the project, whether federal or recipient cost share, must be allowable, allocable, reasonable, necessary, and consistent with OMB guidelines. The applicant should keep this in mind when drafting the Budget Narrative, as INL will reference both the Budget and Budget Narrative to determine whether proposed costs fit these requirements.

<u>Category A. Personnel</u>

This section should include all staff from the applicant organization that will work on this project.

- Identify staff by name, where possible, and position title and include a brief description of duties.
- List the annual or monthly salary of each position, their level of effort (i.e., percentage of time working on project), and number of months or years they will work on the project.

- If applicable, separate personnel by location (e.g., headquarters staff and field office X staff)

Category B. Fringe Benefits

Fringe Benefits are the non-wage compensation provided to employees in addition to their normal wages or salaries. Common examples include health insurance, vacation and sick leave, and employer-paid taxes. Fringe benefit application must be consistent with organization's written policy.

- Explain how benefits are computed for each category of employee
- Specify the type of benefit and rate. If applicable, reference rates found in NICRA.

Category C. Travel

This category outlines travel planned for staff and participants.

- **Domestic and International Airfare**
  - Indicate origin and destination (city and country), number of travelers, number of trips each, unit cost per round trip, and purpose.
  - All travel must be booked with economy class fares only.
  - Where applicable, travel should comply with the Fly America Act. More information located here: http://www.gsa.gov/portal/content/103191.
- **In-Country Travel**
  - Indicate origin and destination cities, mode of transportation, number of travelers, and unit cost per traveler per trip.
- **Per Diem**

  This includes lodging, meals and incidentals (M&IE) for staff and participant travel.
  - Rates of maximum allowances for U.S. and foreign travel are located here: https://www.gsa.gov/travel/plan-book/per-diem-rates
  - Per diem rates must follow the organization's own policy; however, institutions may use official government per diem rates as reference.
  - Per diem rates may be prorated and/or removed if the project is paying for refreshments and/or meals for participants (e.g., while attending a workshop or conference).

Category D. Equipment

Equipment is defined as an item with a per-unit cost of $5,000 or more and a service life of more than one year. If the item meets these criteria, all federal procurement policies and procedures must be followed. If an item does not meet these criteria, it should be listed as a supply item under Category E.

- Provide a description and justification for all equipment, breaking down the total cost into its components where possible.
- Specify whether the equipment will be purchased or rented.

Category E. Supplies

Supplies include tangible items (e.g., toner, laptops, paper) and intangible items (e.g., computer software and licenses) used to manage the project and activities.

- List items separately, including a brief description and justification for the item, number of units, and unit cost.
- For electronic supplies (e.g., mobile phones and laptops), specify which staff will receive the items and the programmatic need.

Category F. Contractual

- **Sub-grants**
  A common distinction between sub-recipients and contractors is the role being played; is the entity simply providing a service or are they an implementing partner:
  - Each sub-grant should be listed as a line within the main budget and be supported by a separate line-item sub-grant budget.
  - For simple sub-grants, the applicant may elect to include the sub-grant's line items within the contractual section of the Budget Narrative; for more complex sub-grants, the applicant should include the sub-grant's line items at the end of the Budget Narrative.
  - All proposed sub-recipients are required to have a Unique Entity Number (UEI), regardless of the proposed budget amount, prior to receiving funding. An active SAM.gov registration is not required for sub-recipients.

- **Consultant Fees and Contracts**
  Common examples include lecture fees, honoraria, travel and per diem for outside speakers or independent evaluators, and subject-matter expert consultants.
  - Describe the nature of the contract/consultancy and list number of people and rates
  - Fees and rates should be consistent with the level of experience and based on a fair market value.
  - Fees and honorarium should not exceed $720/day per person, effective January 1, 2023. The 2022 rates will apply to all NOFOs issued before January 1, 2023, until amended. (Note: The designated INL GO can negotiate final fees and rates during the review process of an award and prior to issuance of an award.)

Category G. Construction

Due to the nature of INL programs, construction costs are not allowable or applicable.

Category H. Other Direct Costs

Other directs costs are any costs not included in the other categories. This category may include the entity's operating expenses that are directly linked to the award but not included as an indirect cost.

- For shared costs (e.g., office rent, utilities, wifi, etc.), justify the percentage of the total cost that is being charged to this project.
- Audit costs can be included if they are not covered by indirect costs. Only the portion of an organizational audit cost associated with this project should be charged to this project.
- Avoid using vague wording such as "miscellaneous", "other", "etc.", and "contingency fund".

Category I. Total Direct Costs

This category simply adds together the totals of all previous categories (A through H) to provide a summary of all direct costs. No additional narrative information is necessary for this category.

Category J. Indirect Costs

Indirect costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The organization's elected methodology must be used consistently for all federal awards.

Indirect costs can be included in the budget under one of the following methods:

- **Negotiated Indirect Cost Rate Agreement (NICRA)**
  Applicants with an established NICRA may charge their approved indirect rate(s).
  - Indicate the rate(s) and the base(s) to which they are applied (e.g., all direct costs, to wages and salaries only, etc.)
  - If an applicant is electing to charge a rate lower than their approved NICRA, an explanation should be provided within the Budget Narrative.
- **De Minimis Rate**
  Applicants that have never received a NICRA can charge a de minimis rate of 10% of modified total direct costs (MTDC) to cover indirect expenses.
  - MTDC includes "all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subaward)"
  - MTDC excludes "equipment, capital expenditures, charges for patient care, rental costs, tuition reimbursement, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of $25,000". Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
  - Justify the MTDC calculation and outline which costs the applicant is proposing to be included within the MTDC base.

Cost Share

Cost Share is the portion of program costs not borne by the Federal Government. Cost sharing may take the form of allowable direct or indirect costs offered by the applicant and/or in-country partners. Applicants should consider all types of cost sharing, including in-kind and public-private partnerships. Additional information on cost share can be found in 2 CFR 200.306. Common examples include the use of office space owned by other entities; donated supplies and equipment; and activities and services conducted by qualified volunteers.

  - Line items that include cost share should be identified as such within the Budget Narrative and include the same level of detail requested within this Appendix for federal expenses.
  - Monetary values should be assigned to each cost-share line item, in accordance with 2 CFR 200.306.
  - Funding from other U.S. government entities or programs does not constitute cost sharing.

C. Budget Allowances and Restrictions:

Program Income

Recipients must report any income generated by the project, also known as "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 addressed in one or more of the following ways:

- added to the award total and used to further program objectives
- used toward the recipient's cost sharing requirement
- deducted from the total allowable costs in order to determine the net allowable costs for the award

Cost Share

If a resulting federal award includes recipient cost share, the recipient must maintain written records to support all allowable costs that are claimed as its contribution to cost share. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost sharing as stipulated in the recipient's budget, INL may reduce the federal share of the award in proportion to the recipient's actual cost share contribution.

Considered Costs

INL will consider approval of the following (non-exhaustive) list of expenses:

- External evaluation to assess the project's impact
- Internal evaluation conducted by the grantee
- Audit for the recipient organization or specific project
- Visa fees, immunizations, and medical insurance necessary for travel under the project
- English translations for reporting, relevant documents, or events
- Training for project staff related to monitoring and evaluation, financial management, and other skills necessary to effectively manage the project

Unallowable Costs

The following (non-exhaustive) list of expenses are not allowed in INL grants and cooperative agreements and should not be included within the proposed budget:

- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction
- Alcoholic beverages
- Buying or leasing land
- 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

INL Grants Officer Specific Approvals

The following list of expenses will require the pre-approval of an INL Grant Officer:

- Program income for the grantees and/or sub-recipients (Note: Program income is defined as "gross income earned by a recipient that is directly generated by a sponsored activity or earned as a result of the award". Program income must be identified, appropriately documented, and the resulting revenue and expenses properly recorded and accounted for. Program Income must be pre-approved by the Grants Officer).
- Expenses incurred before or after the award period of performance, unless prior written approval is given by INL Grants Officer
- Costs of entertainment, including amusement, diversion, and social activities, except where these costs have a demonstrable programmatic purpose and are authorized by INL
- Construction

Additional Notices

The applicant is reminded that funds provided under this agreement must be used in a manner fully consistent with U.S. law.

The applicant will be responsible for complying with all applicable tax treaties and federal, state, and local laws on tax withholding and reporting for program participants.