

Notice of Funding Opportunity
Promoting Security and Accountability in Panama

Announcement Type:	New Grant or Cooperative Agreement
Public Opportunity Title:	Promoting Security and Accountability in Panama
Catalog of Federal Domestic Assistance (CFDA) Number:	19.750
Funding Amount:	\$1,500,000 U.S. Dollars
Issuance Date:	March 1, 2016
Deadline for Receipt of Questions:	April 9, 2016, 5:00 PM Eastern Time
Deadline for Submission of Applications:	April 29, 2016 11:59 PM Eastern Time
Funding Activity Category:	Economic Support Funds
Program Type:	U.S. Embassy Panama
Grant Program:	Central America Regional Security Initiative
Assistance Type:	Grant
Eligibility Category:	U.S. Nonprofit/nongovernmental organizations (NGOs) having a 501(c)(3) status with the IRS, overseas-based nonprofit organizations, institutions of higher education, and public international organizations
Est. Project Start Date:	September 30, 2016
Est. Project End Date:	Variable
Fiscal Year:	FY 2015
Award Ceiling:	\$1,500,000
Award Floor:	\$200,000
Expected # of Awards Funded:	1 to 7
Cost Sharing Requirement:	No

EXECUTIVE SUMMARY

The U.S. Embassy Panama announces a Notification of Funding Opportunity (NOFO) to promote security and accountability in Panama with up to \$1,500,000 in FY 2015 Economic Support Funds for a project period between 18-24 months; however, the Embassy will consider award periods of up to 3 years for exceptional proposals on a case-by-case basis. The anticipated start date for this activity is September 30, 2016. The U.S. Embassy Panama anticipates funding up to seven awards as a result of this NOFO.

This funding will support United States government objectives under the Central America Regional Security Initiative (CARSI). Within Central America (Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama), the United States works with partner nations to strengthen institutions to counter the effects of organized crime, uphold the rule of law, and protect human rights. Institution building is coupled with prevention projects that dissuade at-risk youth from turning to crime and gangs and community policing projects that engage local communities on citizen security issues.

This funding will 1) support the strengthening of civil society and democracy through projects that educate Panamanian law students to understand and use Panama's new accusatory justice system, 2) strengthen the rule of law and aid the development of Panamanian government institutions through projects that develop juvenile rehabilitation programs and crime prevention programs, or 3) provide job skills training and facilitate economic opportunities for underserved youth and at-risk communities as an alternative to illegal activities. Projects may focus on one or more of the objectives and must fulfill at least one sub-objective of the corresponding objectives.

U.S. Embassy Panama reserves the right to fund any or none of the applications submitted and will determine the resulting level of funding for the award. The authority for this NOFO is found in the Foreign Assistance Act of 1961, as amended.

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

For further information, please contact:

PanamaGrants@state.gov

NOTICE OF FUNDING OPPORTUNITY

The U.S. Embassy Panama is seeking applications from U.S. Nonprofit/nongovernmental organizations (NGOs) having a 501(c)(3) status with the IRS, overseas-based nonprofit organizations, institutions of higher education, and public international organizations (PIOs) for a grant to implement a program entitled “Reinforcing a democratic, secure, and prosperous Panama.” The authority for this Notice of Funding Opportunity (NOFO) is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 2 CFR 200.400g, it is U.S. Department of State policy not to award profit under assistance instruments. All reasonable, allocable, and allowable expenses, however, both direct and indirect, that are related to the agreement program and are in accordance with applicable cost standards (2 CFR 200 for U.S. and overseas-based nonprofit organizations, and universities; and the Mandatory Standard Provision “Allowable Costs (APR 2011)” for public international organizations), may be paid under the grant agreement. NOTE: overseas-based nonprofit organizations are legally required to comply with the 2 CFR 200.

Subject to the availability of funds, U.S. Embassy Panama intends to issue one or more awards in an amount not to exceed \$1,500,000 in total funding. The U.S. dollar amount will be funded from U.S. Embassy Panama allocated funds, for a project period not to exceed two years (three years for exceptional proposals on a case-by-case basis). The anticipated start date for this activity is September 30, 2016. Contingent upon the availability of funds and quality of proposals, as many as seven awards may be granted as a result of this NOFO. U.S. Embassy Panama reserves the right to fund any or none of the applications submitted and will determine the resulting level of funding for the award.

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

To be eligible for award, the applicant must submit all required information in its application through Grants.gov (<http://www.grants.gov>), including the requirements found in any attachments to this opportunity. This NOFO consists of this cover letter plus the following Sections:

1. Section I – Funding Opportunity Description
2. Section II – Award Information
3. Section III – Eligibility information
4. Section IV – Application and Submission Instructions
5. Section V – Application and Review Information
6. Section VI – Agency Contacts

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

It is the responsibility of the recipient of this NOFO document to ensure that it has been received from Grants.gov in its entirety. U.S. Embassy Panama bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. The deadline for submission of applications is April 29, 2016, 11:59 PM Eastern Time.

Submit any questions concerning this NOFO in writing to PanamaGrants@state.gov. The deadline for submission of questions for this NOFO is April 29, 2016, 11:59 PM local time. Responses to questions will be made available to all potential applicants through an amendment to this NOFO and posted on Grants.gov.

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

Ambassador John D. Feeley
U.S. Embassy Panama

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

BACKGROUND

Since 2011, the Government of Panama has been transitioning to an entirely new system of justice based on the accusatory system common in most western nations. The new system provides more rights for the accused and manages justice cases more efficiently than in the past. Many members of the justice sector have been trained, or are in the process of being trained, on the new system. However, the process of training law students and newly-minted lawyers on the accusatory system has not kept pace. In addition, there are losses in human talent and greater social costs in these areas. Many adolescents and youth in these marginalized communities lack economic opportunities and are more likely to get involved in criminal activities, which tax the justice system. These and other systemic factors contribute to high levels of crime and perceptions of insecurity throughout Panama, including in Panama City.

Through the Central America Regional Security Initiative (CARSI), the U.S. Government provides broad-based security assistance to the region to respond to threats to citizen security. One objective of CARSI is to produce a safer and more secure region where criminal organizations no longer wield the power to destabilize governments or threaten national and regional security and public safety, as well as to prevent the entry and spread of illicit drugs, violence, and transnational threats to countries throughout the region and to the United States. The five goals of CARSI are:

1. Create safe streets for the citizens of the region
2. Disrupt the movement of criminals and contraband within and among the nations of Central America
3. Support the development of strong, capable, and accountable Central American governments
4. Re-establish effective state presence and security in communities at risk
5. Foster enhanced levels of security and rule of law coordination and cooperation among the nations of the region

U.S. Embassy Panama has supported numerous projects to strengthen civil society, democracy, the rule of law, and government institutions and to provide opportunities for vulnerable youth in at-risk communities.

To support further progress in Panama, the U.S. Department of State has allocated up to \$1,500,000 in FY 2015 Economic Support Funds to focus on Goals 1, 3, and 4 of CARSI.

PROJECT OBJECTIVE

Successful grant proposals will pursue objectives that reinforce a democratic, secure, and prosperous Panama by: 1) strengthening the rule of law and aiding the development of Panamanian government institutions, 2) supporting the strengthening of civil society and democracy, or 3) providing opportunities to underserved youth and at-risk communities.

PROJECT DESCRIPTION

Ideally, projects may focus on one and preferably no more than two of the objectives, and must fulfill at least one sub-objective of the following NOFO project objectives:

Objective 1 – Rule of Law and Government Institutions: Strengthen the rule of law and aid the development of Panamanian government institutions through projects that develop juvenile rehabilitation and reintegration programs.

Panama's prison system lacks sufficient means to rehabilitate and reinsert juvenile delinquents into society; Panama also lacks strong crime prevention programs that promote citizen security.

Sub-objective 1:

In partnership with the Panamanian government's juvenile corrections authority (*Instituto de Estudios Interdisciplinarios*), the recipient will develop vocational and/or academic projects to provide job skills to juvenile criminal offenders that will support their rehabilitation and social reinsertion. Projects should assist participants in securing employment at the completion of the project, but funds cannot be used to directly support employment or benefits. Projects should target youth who have been released from detention, put on probation, or sentenced to other social re-education measures. Projects will be executed in collaboration with the juvenile corrections authority in support of its mandate to rehabilitate youth.

Sub-objective 2:

In partnership with the relevant Panamanian authorities, the recipient will develop and implement crime prevention pilot projects that promote citizen security. These projects should be scalable and intended to demonstrate the viability of a crime prevention approach so that the Government of Panama can later replicate and expand them as appropriate. Projects will be executed in collaboration with the Government of Panama.

Objective 2 – Civil Society and Democracy: Support the strengthening of civil society and democracy through projects that educate new lawyers, as well as those already practicing, to better understand and use Panama's new accusatory justice system as the government completes the transition in its most populous provinces and moves ahead with full implementation throughout the country.

Sub-objective 1:

The recipient will partner with Government of Panama officials to ensure lawyers and law students in Panama understand the new accusatory justice system being implemented throughout the country. Ensure those attorneys understand the new system, the rights of the accused under it, the responsibilities of all justice sector actors, and the use of alternative sentencing programs. Such efforts should build upon the lessons learned in provinces where the transition has already gone into effect to ensure a smooth transition and be coordinated with other INL-funded programs assisting with implementation of the accusatory system in Panama.

Sub-objective 2:

Recipient will partner with Government of Panama officials to review current training programs within the Panamanian university and law school system, determine gaps in the schools' training programs, and work with education officials to develop appropriate training programs. Such efforts should help ensure that future attorneys throughout the country understand the judicial system, as well as the rights

and obligations of both the accused and attorneys under that system.

Objective 3 – Opportunities for Youth and Marginalized Communities: Provide job skills training and facilitate economic opportunities for underserved youth and at-risk communities as an alternative to illegal activities.

Despite Panama’s rapid economic growth and low overall unemployment levels, high levels of income inequality persist, especially in underserved areas in the Panama and Colon provinces, as well as areas with poor links to the capital. Many residents in these areas lack the skills to take advantage of economic opportunities and are at high risk for engaging in illegal activities.

Sub-objective 1:

In collaboration with the Panamanian Government and relevant sub-national governments, the recipient will develop and implement projects in areas such as vocational training, workplace skills, and business development to enable at-risk individuals to avoid illicit activities and become contributing members of society. Project must demonstrate clear linkages to CARSI security goals.

Sub-objective 2:

In collaboration with the Panamanian government’s Ministries of Government and Public Security, and others as appropriate, the recipient will develop and implement projects that will support the economic development of juveniles and at-risk youth in marginalized communities by providing educational support, job training (through the development of vocational and professional skills), and establishing linkages with public, private, and/or nonprofit institutions to ensure job placement for graduates of the program to transition into careers which afford a living wage. Project must demonstrate clear linkages to CARSI security goals.

CROSS-CUTTING AND ADDITIONAL ACTIVITIES

Project Expansion

In the event of a successful project, U.S. Embassy Panama will consider the option of expanding the project to other areas of countries in the region, subject to availability of future funding. Applicants may include in their proposal a brief section (no more than 1 page) outlining how additional funds could potentially be used to expand work into further activities or additional countries in future years. Applicants are strongly encouraged to demonstrate how the project might leverage funding through other organizations.

DESIRED RESULTS AND INDICATORS

The recipient will develop a project-level Project Monitoring and Evaluation with annual and end-of-project targets and results anticipated for key performance indicators. The following tables show example indicators that must be measured, as well as illustrative targets, which the recipient will be responsible for monitoring and reporting during and after the project. In addition, U.S. Embassy Panama will regularly monitor the project’s performance to assess whether project activities are on track and targets are being achieved.

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

Example: Objective 1 – Rule of Law & Government Institutions: By the end of the 2 years of the project, 70 percent of all juveniles benefitting from the project will have successfully been reinserted into society after departing the juvenile justice system, either through employment or continuing education. With regard to crime prevention projects, no more than 15 percent of participants will have committed a crime after departing the juvenile justice system.

Example Outcome Indicators	Illustrative targets:
Change in rate of recidivism of participating youth.	Reduction of 10 percent from 2015 baseline
Percent of at-risk youth that report increased confidence in expressing a leadership role in their community.	TBD

Output indicators are provided below. The recipient should review these and propose targets, as appropriate.

Example Output Indicators	Illustrative targets:
Number of after-school projects targeting at-risk youth implemented.	2 programs
Number of at-risk youth who received X weeks of tutoring in after-school projects.	100 students
Number of at-risk youth placed in apprenticeship positions.	20 students

Example Objective 2 – Civil Society and Democracy: By the end of the 2 years of the project, surveys of individuals entering the legal profession nationwide targeted by the assistance should show that 95 percent understand the new system and can accurately describe their rights and obligations of the accused and other justice-sector actors, can effectively communicate those rights and responsibilities to those seeking their services, and can effectively represent both the government and the accused's interests. Applicant should provide output and outcome indicators that will be used to measure progress.

Example Outcome Indicators	Illustrative targets:
Percent of students and new legal professionals demonstrating knowledge of and competency in the accusatory system	95 percent over entry survey baseline

Example Objective 3 – Opportunities for Youth in Marginalized Communities: By the end of 2 years of the project, projects will have a graduation/completion rate of 70 percent, and 50 percent of project graduates will be successfully employed in areas related to their

training. Project graduates should be demonstrably less likely than non-graduates to be arrested.

Example Output Indicators for Objective 3	Illustrative targets:
Number of at risk youth who received X weeks of vocational skills training.	TBD
Number of project graduates who are employed in skilled-labor positions within 6 months of completing the project.	TBD
Number of at-risk youth placed in apprenticeship positions.	TBD

The recipient may propose additional outputs, indicators, and/or targets as appropriate. The recipient will be required to collect baseline data for all the PMP indicators during the first year of the project. In addition, applicants should define certain terms included in the outcomes and indicators at the very beginning of the project so that it is possible to measure the change during and at the end of the project. Examples of such are “capacity,” “spread effect,” etc. Such baseline information will be critical for both monitoring and evaluation of project progress and results.

[END OF SECTION I]

SECTION II – AWARD INFORMATION

U.S. Embassy Panama expects to award up to seven grant agreements based on this NOFO. The anticipated total federal funding amount is \$1,500,000. The expected period of performance is between 18-24 months; however, the Embassy will consider award periods of up to 3 years for exceptional proposals on a case-by-case basis. The anticipated start date is September 30, 2016.

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

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

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

(1) Eligible Entities: Applicants who are eligible to apply are U.S. and overseas-based NGOs, PIOs, educational institutions, and other qualified organizations that are able to respond to the NOFO and be able to mobilize in a short period of time.

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

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in any sub-awards issued under this grant award.

(2) U.S. Embassy Panama encourages applications from potential new partners.

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS

U.S. Embassy Panama urges prospective applicants to confirm immediately that their organization has a current Dun and Bradstreet (DUNS) number as well as a current registration in the System for Award Management ([SAM.gov](https://sam.gov)).

Applicant organizations that do not have DUNS number may obtain one at no cost by calling the toll-free DUNS request line at 1-866-705-5711 or visiting the D&B website:

<https://iupdate.dnb.com/iUpdate/viewiUpdateHome.htm>

NOTE: Organizations must obtain a DUNS number prior to completing the SAM.gov registry process.

Applicant organizations can obtain assistance for SAM.gov registration here: <https://www.fsd.gov> or calling 1-866-606-8220 (U.S. calls) or 1-324-206-7828 (international calls).

NCAGE Code - Special Requirements for Non-U.S. Applicants: Non-U.S. organizations must first obtain a North Atlantic Treaty Organization CAGE (NCAGE) Code from the appropriate source. Organizations may request an NCAGE code here:

<https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>

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 a minimum of 1-inch margins

Complete applications must include the following for proposal submissions:

1. Completed and signed SF-424, SF-424a, and SF424b
<http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf> submitted to www.grants.gov, as well as, if applicable, your organization's most recent audit.
2. Table of Contents (not to exceed one [1] page in Microsoft Word) that includes a page-numbered contents page, including any attachments.
3. Executive Summary (not to exceed two [2] pages in Microsoft Word) that includes:
 - a) The target country(ies),
 - b) Name and contact information for the project's main point of contact,
 - c) A statement of work or synopsis of the project, including a concise breakdown of the project's objectives, activities, and expected results,
 - d) The total amount of funding requested and project length, and
 - e) A brief statement on how the project is innovative, sustainable, and will have a demonstrated impact.
4. Proposal Narrative (not to exceed ten [10] pages in Microsoft Word). Please note the ten-page limit does not include the Table of Contents, Executive Summary, Attachments, Detailed Budget, Budget Narrative, or NICRA. Applicants are encouraged to submit multiple documents in a single Microsoft Word, (i.e., Table of Contents, Executive Summary, Proposal Narrative, and Budget Narrative in one file).

5. Budget Narrative (preferably in Microsoft Word) that includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, U.S. Embassy Panama recommends applicants order the budget narrative as presented in the detailed budget. Personnel costs should include a clarification of the roles and responsibilities of key staff and percentage of time devoted to the project. The budget narrative should communicate to U.S. Embassy Panama any information that might not be readily apparent in the budget, not simply repeat with words what is stated numerically in the budget.

6. Detailed Line-Item Budget (preferably in Microsoft Excel) that includes three [3] columns including the request to U.S. Embassy Panama, any cost sharing contribution, and total budget (see below for more information on budget format). A summary budget should also be included using the OMB approved budget categories (see SF-424 as a sample). Costs must be in U.S. dollars.

7. Attachments (not to exceed nine [9] pages total, preferably in Microsoft Word) that include the following in order:

- a) Page 1-2: Project Monitoring and Evaluation (see below for more information on this section).
- b) Page 3: Roles and responsibilities of key project personnel with short bios that highlight relevant professional experience. This relates to the organization's capacity. Given the limited space, CVs are not recommended for submission.
- c) Page 4: Timeline of the overall proposal. Components should include activities, evaluation efforts, and project closeout.
- d) Page 5-7: 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.

8. If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, your latest NICRA must be included as a .pdf file. This document will not be reviewed by the panelists, but rather used by project and grant staff if the submission is recommended for funding and therefore does not count against the submission page limitations, as described above. If your proposal involves subgrants to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file (see below for more information on indirect cost rates). Specify if your organization elects to charge the de minimis rate of 10% of the modified total direct costs.

Note: U.S. Embassy Panama retains the right to request additional documentation for those items not included on this form.

INFORMATION ON STANDARD FORMS

Please see Tab D for instructions for completion of Standard Forms 424, 424A, and 424B.

OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS

Organizations should be familiar with 2 CFR 200 on cost accounting principles. For a copy of the OMB circular cited, please contact Government Publications or download from http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl. Overseas-based nonprofit organizations are legally required to comply with 2 CFR 200. Public international organizations retain their privileges and immunities as such, but are encouraged to address this OMB Circular.

AUDITS

The recipient's proposal should include the cost of an audit that:

- 1) Complies with the requirements of 2 CFR 200 Subpart F “Audit Requirements”
 - 2) Complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, “Audits of Not-for-Profit Organizations Receiving Federal Awards”
 - 3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, “Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents,” where applicable. When the U.S. Department of State is the largest direct source of Federal financial assistance (i.e., the cognizant Federal Agency) and indirect costs are charged to Federal grants, a supplemental schedule of indirect cost computation is required.
 - 4) A non-Federal entity that expends \$750,000 or more during the non-Federal entity’s fiscal year in Federal awards must have a single or project-specific audit conducted for that year in accordance with the provisions of 2 CFR 200 subpart F
- The audit costs shall be identified by 2 CFR 200.425.*

INDIRECT COST RATE

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

TAB A: PROPOSAL GUIDELINES

Proposals should include the following components:

- Introduction and Problem Statement
- Planned Activities
- Indicators

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

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

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

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

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

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

Process Indicator	50 women trained in energy efficiency standards
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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
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Outcome Indicators measure the change in system, 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 because of participant's participation.
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All indicators **must** include measurable, numerical targets that should serve as the foundation for monitoring and evaluation efforts. Ultimately, proposed activities and achievement of indicator targets will lead to impact.

TAB B: PROGRAM MONITORING AND EVALUATION PLAN

U.S. Embassy Panama will work with recipient organizations to implement the appropriate monitoring and evaluation plan that meets both the needs of U.S. Embassy Panama and the implementing partner. Incorporating a well-designed monitoring and evaluation component into a project is one of the most efficient methods of documenting the progress and potential success of a 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
- Developing key performance indicators that measure realistic progress towards the objectives

U.S. Embassy Panama 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 in which participants work or partner with. Applicants should include the monitoring and evaluation process in their timeline.

Recipients will be required to provide reports with an analysis and summary of their findings, both quantitative and qualitative, in their regular progress reports to U.S. Embassy Panama.

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

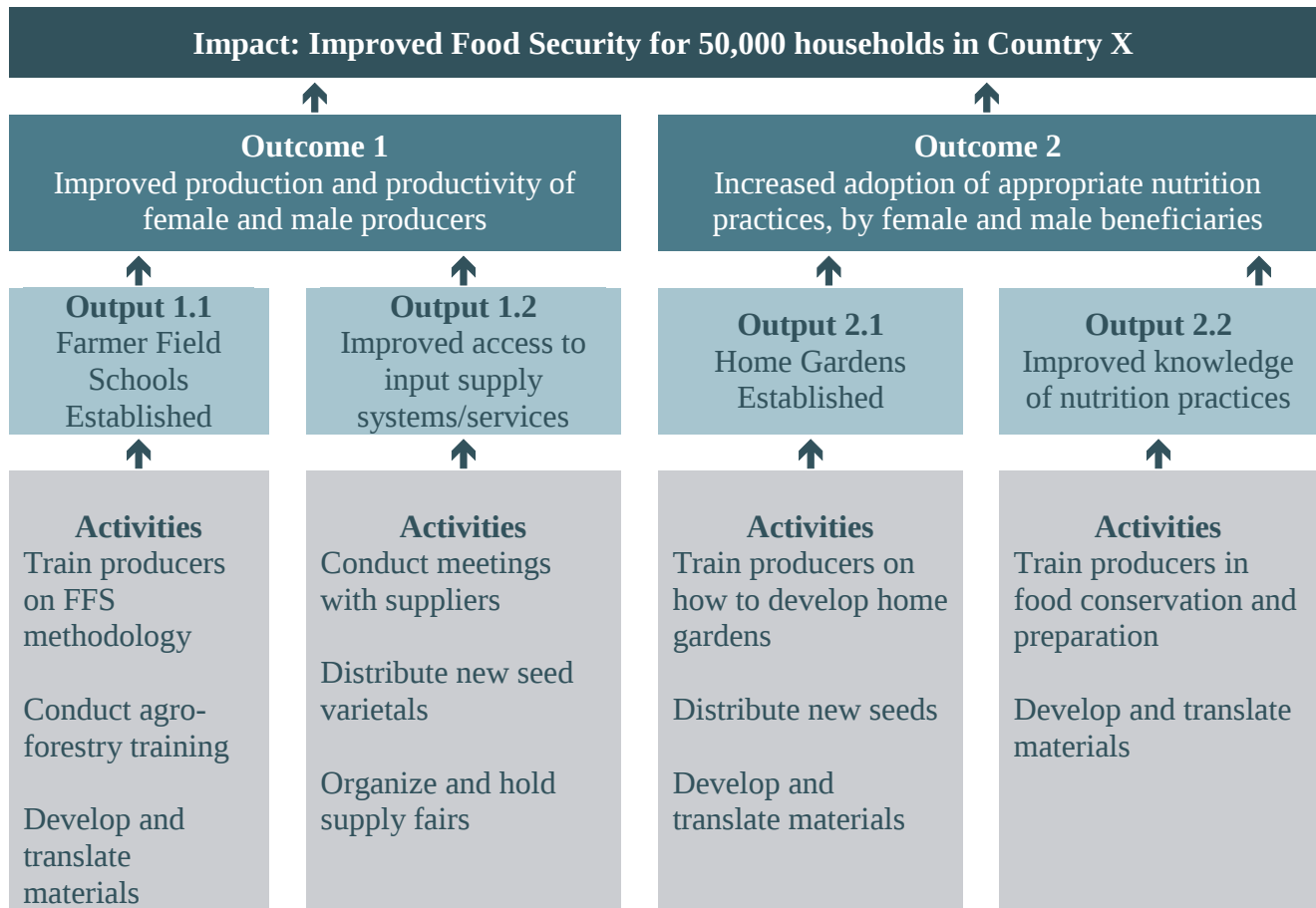
- A results “Logic Model” planning document (see sample)
- Indicators, as described in Tab A, as well as details on how each indicator will be measured, frequency of the measurements, units of measure, etc. Provide indicators at the output and outcome levels. Monitoring and evaluation plans should include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

Sample Evaluation 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	Training records	10	20		
Outcome	% of standards implemented in participant's host country as a result of participant's direct or indirect participation	Embassy reporting				-+ 0
Activity: Government Roundtable						
Indicator Type	Indicator Name	Source	Target FY16Q1	Results FY16Q1	Target FY16Q2	Results FY16Q2
Output	Xxx					
Outcome	Yyy					

Sample “Logic Model” Planning Tool

Note: Outcomes, outputs, and activities should include numerical, measurable targets. A Logic Model is a useful tool for planning and utilized when designing monitoring and evaluation methodology and frameworks.



TAB C: BUDGET GUIDELINES

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

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

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

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

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

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

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

LINE-ITEM BUDGET –

A. Personnel – Identify staffing requirements by each position title and brief description of duties.

For clarity, please list the annual salary of each position, percentage of time, and number of months devoted to the project. (e.g., Administrative Director: \$30,000/year x 25% x 8.5 months; calculation: $\$30,000/12 = \$2,500 \times 25\% \times 8.5 \text{ months} = \$5,312$).

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

C. Travel - Staff and any participant travel:

- 1) International airfare
- 2) In-country travel
- 3) Domestic travel in Country X, if any
- 4) Per diem/maintenance: includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for United States and foreign travel are available from the following website: <http://www.policyworks.gov>. Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.
- 5) “Staff” refers to grantee staff only, and not sub-grantee staff or contractors

D. Equipment – Please provide justification for any equipment purchase/rental, defined as tangible personal property having a useful life of more than 1 year and an acquisition cost of \$5,000 or more.

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

F. Contractual –

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

b) Consultant Fees – For example, lecture fees, honoraria, travel, and per diem for outside speakers or independent evaluators: list number of people and rates per day (e.g., $2 \times \$150/\text{day} \times 2 \text{ days}$)

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

H. Indirect Charges – See 2 CFR 200.414, “Indirect Costs”

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

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

BUDGET CONDITIONS AND RESTRICTIONS –

The Embassy does not pay for the following:

- 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 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 Federal awarding agency
- Land
- Construction

The Embassy 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 U.S. Embassy Panama's funds, conditions or recommendations may include requests to increase, decrease, clarify, and/or justify costs.

TAB D: GUIDELINES FOR STANDARD FORMS

SF-424 – Complete all fields except fields noted as “Leave Blank” below

1. Type of Submission: Application
2. Type of Application: New
3. Date Received: Leave blank. This will automatically be assigned.
4. Applicant Identifier: Leave blank
- 5a. Federal Entity Identifier: Leave blank
- 5b. Federal Award Identifier: Leave blank
6. Date Received by State: Leave blank. This will automatically be assigned.
7. State Application Identified: Leave blank. This will automatically be assigned.
- 8a. Enter the legal name of the applicant organization.
- 8b. Employer/Taxpayer ID Number: N/A
- 8c. Organizational DUNS: Organizations can request a DUNS number at:
<http://fedgov.dnb.com/webform>
- 8d. Enter the full address of the applicant
- 8e. Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable
- 8f. Enter the name, title, organization, and contact information of person to be contacted on matters involving this application
9. Select an applicant type (type of organization)
10. Enter: U.S. Embassy Panama
11. Enter: N/A
12. Enter the Funding Opportunity Number and title. 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)
- 16a. Enter congressional district of Applicant.
- 16b. Enter: 00
Program: Leave blank
17. Enter a start date of October 1, 2015 and a projected end date
- 18a. Enter the amount requested for the project under “Federal”
- 18b. Enter any cost-share under “Applicant”
19. Enter “c”
20. Select the appropriate box. If you answer “yes” to this question, provide an explanation.
21. Enter the name, title, and contact information of the individual authorized to sign for the application.

Link to form: http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf

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

Section A – Budget Summary: Complete Row 1

- 1a. Enter: CARSI Program (This is the only grant program that needs to be entered)

- 1b. Enter: N/A
- 1c-d. Leave these fields blank
- 1e. Enter the amount of federal funds you are requesting for this project
- 1f. Enter the amount of any other funds you will receive towards this project
- 1g. Enter the total cost of this project

Rows 2, 3, and 4 should 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 income that will be earned as a result of the project. If there is none leave this section blank.

Section C – Non-Federal Resources (Only complete this section if your project includes an applicant cost share or funds from other sources—cost share is not required)

- 8a. Under Grant Program enter: U.S. Embassy Panama
- 8b. Enter your 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 you expect 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 you expect 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. Grant Program enter: CARSI Program
- 16b. Enter the amount of federal funds you expect to expend in year two of the project.
- 16c. Enter the amount of federal funds you expect to expend in year three of the project.
- 16d-e. Leave blank
- 17-19. Leave blank
- 20. Enter the total amount for each year (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 B6, enter the type of Indirect Rate used (Provisional, Predetermined, Final, or Fixed)
- 23. Enter any comments

Link to form: <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Applicants shall organize the narrative sections of their technical applications in the same order as the selection criteria. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

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

I. TECHNICAL EVALUATION CRITERIA

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

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

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

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

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

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

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

- Describes the division of labor among the direct applicant, any partners and any potential sub-grantees (2)
- Proposal clearly articulates understanding of the security situation/operating environment and plans for ensuring safety of participants (2)
- Includes contingency plans for potential difficulties in executing the original work plan (6)

Cost Effectiveness Rating (15 Total Possible Points):

- The overhead and administration of the proposal, including salaries and honoraria, are explained and justified for the work involved (5)
- All budget items are necessary, appropriate and linked to project objectives (5)
- Personnel costs are reasonable for the work involved (5)

NOTE: Cost share is not required. Applicants may offer cost share; however, cost share will not be considered or factored in reviewing proposals.

Program Monitoring and Evaluation Rating (15 Total Possible Points):

- The Monitoring and Evaluation (M&E) Plan includes:
 - Narrative explaining how monitoring and evaluation will be carried out and who will be responsible for monitoring and evaluation activities (5)
 - Table listing by project objectives the output- and outcome-based performance indicators with baselines and (yearly and cumulative) targets, data collection tools, data sources, types of data disaggregation if applicable, and frequency of monitoring and evaluation (7)
 - Includes an external midterm and/or final evaluation or justification for why one is not included (3)

Multiplier Effect/Sustainability of Impact Rating (10 Total Possible Points):

- Clearly delineates how elements of the project will have a multiplier effect (5)
- Clearly delineates how impact will be sustainable beyond the life of the grant (5)

Institution's Record and Capacity Rating (10 Total Possible Points):

- The proposal demonstrates an institutional record of successful projects in the proposed country, the content area (e.g., media, access to justice), or other (describe) (4)
- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives (2)
- Roles, responsibilities, and brief bios/resumes are included for primary staff, and demonstrate relevant professional experience (2)
- Applicant is a current/past Department of State grantee where performance: (2)
 - Was/is on target
 - Showed/shows responsible fiscal management

OR

- The proposal is from a NEW APPLICANT and proposal: (2)
 - Demonstrates capacity for responsible fiscal management
 - Illustrates success in similar sized projects

COST EVALUATION

Cost will be evaluated for realism, reasonableness, allowability, allocability, and cost-

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

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

[END OF SECTION V]

SECTION VI – AGENCY CONTACTS

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

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

[END OF SECTION VI]