United States Department of State
Bureau of International Narcotics and Law Enforcement Affairs (INL)
Notice of Funding Opportunity (NOFO)
Updated February 11, 2020.
All substantive changes are highlighted in yellow.

Announcement Type:	Request for Federal Assistance Awards Applications
Public Opportunity Title:	Colombian Juvenile Drug Court Expansion
NOFO Opportunity Number:	INL20CA0009-WHPColombia-DrugCourts-01212020
Catalog of Federal Domestic Assistance (CFDA) Number:	19.704 – Counter-narcotics
Funding Amount:	Not to exceed $1,000,000 U.S. Dollars
NOFO Issuance Date:	January 21, 2020
Deadline for Receipt of Questions:	February 5, 2020 11:59 PM Eastern Standard Time
Deadline for Submission of Applications:	**Friday, February 28, 2020** **11:59 PM Eastern Standard Time via www.grants.gov**
Program Type:	Drug Demand Reduction
Grant Program:	INL-Bogota
Assistance Type:	Cooperative Agreement
Eligibility Category:	U.S. based non-profit/non-governmental organizations (NGOs); U.S. based educational institutions having a 501(c)(3) status with the IRS; Overseas-based non-profit/non-governmental organizations (NGOs); and Overseas-based private/state educational institutions. See complete eligibility criteria below.
Applicant Type:	Organizations only
Award Ceiling:	$1,000,000

Award Floor:	$250,000
Cost Sharing Requirement:	Not required but recommended
Agency Points of Contact:	For any questions related to this opportunity, please email: Alexandra Paez (PaezA@state.gov) **and** Katelyn Smith (SmithKB@state.gov)

EXECUTIVE SUMMARY

The mission of the State Department's Bureau of International Narcotics and Law Enforcement Affairs (INL) is to minimize the impact of international crime and illegal drugs on the United States, its citizens, and partner nations by providing effective foreign assistance and fostering global cooperation. This mission, which centers on helping our partner nations establish a capable and accountable criminal justice sector, was expanded during the past decade to include stabilizing post-conflict societies through criminal justice sector development and reform. This mission supports peace and security by stabilizing and strengthening security institutions and by combating narco-trafficking and other transnational crimes such as money laundering and criminal gangs. It promotes just and democratic governments by strengthening justice sector institutions, good governance and respect for human rights.

INL combines forces with other U.S. Government (USG) and international agencies and takes a regional approach to widespread problems. INL also encourages more developed governments to take responsibility as equal partners in global efforts to combat transnational crime, including drug trafficking. The Bureau's priority programs support three inter-related objectives:

- **BUILDING CRIMINAL JUSTICE SYSTEMS:** Institutionalize rule of law by developing and expanding criminal justice systems to strengthen partner country law enforcement and judicial effectiveness, foster cooperation in legal affairs, and advance respect for human rights;
- **COUNTER-NARCOTICS:** Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations, and;
- **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks on the United States and its allies through enhanced international cooperation and foreign assistance.

NOTICE OF FUNDING OPPORTUNITY

The United States Department of State, Bureau of International Narcotics and Law Enforcement Affairs INL is seeking applications from qualified U.S.-based and non-U.S. based non-governmental (NGOs)/non-profit organizations or educational institutions for a cooperative agreement to implement a program entitled "Colombian Juvenile Drug Court Expansion" 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 direct and indirect reasonable, allocable, and allowable expenses, however, that are related to the agreement program and are in accordance with applicable cost standards (2 CFR 200 for U.S. and overseas-based non-profit organizations, and education institutions) may be paid under the cooperative agreement . NOTE: overseas-based nonprofit organizations are legally required to comply with 2 CFR 200.

Subject to the availability of funds and pending Department of State internal approvals, INL intends to issue an award in an amount not to exceed $1,000,000 in federal funding. The U.S. Dollar amount will be funded from INL allocated funds, for an initial project period of three years. INL may award up to two additional years contingent on INL priorities, good performance of the recipient, and funding availability. **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).**

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

To be eligible for an award, the applicant must submit <u>all</u> required information and documents in its application through www.grants.gov including the requirements found in any attachments to this funding opportunity.

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CONTACT INFORMATION

Any questions concerning this NOFO should be submitted via email to Alexandra Paez (PaezA@state.gov) and Katelyn Smith (SmithKB@state.gov). The deadline for submission of questions for this NOFO is February 05, 2020 by 11:59 PM EST. Responses to questions will be made available to all potential applicants as an attachment to this NOFO and posted on www.grants.gov.

This funding opportunity is posted on www.grants.gov and may be amended. See Section IV for further details. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download the most updated version of the Adobe program to their computers to view and save the Adobe forms properly. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the www.grants.gov helpdesk at: 1-800-518-4726, International callers: 1-606-545-5035, or via email at support@grants.gov for technical assistance. The Contact Center is available 24 hours a day, seven days a week (except federal holidays).

See https://www.opm.gov/policy-data-oversight/snow-dismissal-procedures/federal-holidays/ for a list of federal holidays.

You may also obtain online assistance at:
https://www.grants.gov/web/grants/applicants/applicant-faqs.html or
https://www.grants.gov/help/html/help/GetStarted/Get_Started.htm.

INL encourages applicants to submit their applications during normal business hours (Monday – Friday, 9:00AM- 5:00PM Eastern Standard Time). If an applicant experiences technical difficulties and has contacted the appropriate help desk, but is not receiving timely assistance, (e.g. if you have not received a response within 48 hours of contacting the help desk), you may contact the INL point of contact listed in the NOFO. The point of contact may assist in contacting the appropriate help desk, but an applicant should also document their efforts in contacting the

help desk. Applicants may also contact the INL point of contact listed in the NOFO if experiencing technical issues with grants.gov that may result in a late submission.

Applicants experiencing technical difficulties should follow these three steps:

1) Contact the help desk for Grants.gov immediately.
2) Document (including screenshots) technical issues AND efforts to contact the help desk. Provide ticket number(s) and/or reference number(s) provided by the helpdesk in order to assist with the technical issue(s).

Note: The INL Grants Officer will determine technical eligibility of all applications and allowability of acceptable proposal submissions if applicants experience technical difficulties without a resolution.

It is the responsibility of the applicant to ensure that it's application has been received from www.grants.gov in its entirety. INL bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic or late submissions.

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

SECTION I – PROGRAM DESCRIPTION

BACKGROUND

The 2016 Colombian National Study on the Use of Psychoactive Substances among School Children (Colombian Drug Observatory, 2016) showed that the percentage of adolescents who recently used cocaine doubled between 2011 and 2016. Similarly, the study found that 9.7 percent of Colombian adolescents had used an illicit drug in the past year, representing a 12 percent increase from 2011. Persistent substance abuse is often accompanied by a wide range of problems, including gang violence and increased crime levels ("The Causal Connection Between Drug Misuse and Crime," The British Journal of Criminology, July 2009). This contributes to overall recruitment into gangs and transnational organized crime, as well as elevated levels of drug demand.

In order to interrupt criminal activity in the Colombian juvenile justice system, the Colombian government is expanding drug prevention and treatment programs for juvenile offenders as part of President Duque's counternarcotics strategy. The U.S. government supports this and other efforts to provide alternatives to incarceration that reduce drug consumption and criminal gang recruitment. The program also improves Colombian judicial system efficiency by

reducing recidivism and diverting adolescent offenders into treatment, rather than into the already crowded criminal justice system.

After a two-year viability study, the Government of Colombia piloted a juvenile drug court model in Medellin with U.S. government assistance. Since the program's creation in 2016 it has successfully treated 32 Colombian youth, diverting them from detention centers. Based on these positive results, the Colombian government seeks to expand the drug treatment court pilot program to seven new cities.

To support the Colombian government's efforts to reduce drug consumption, the U.S. Department of State has allocated $1,000,000 USD in funding for designing the expansion of the program, training and mentoring Colombian staff in each target city, and evaluating its impact. Under the proposed expansion, the Colombian government has identified the key judicial and administrative staff in each target city who will launch and run the new drug treatment courts. The Colombian Ministry of Justice is funding the initial training for new drug treatment court staff and policy makers.

PROJECT PURPOSE/DESCRIPTION

The purpose of this project is to reduce criminal recruitment and recidivism by utilizing the juvenile justice system as an opportunity to divert Colombian youth from drug use. It will also improve judicial efficiency by reducing the number of adolescent offenders in the criminal justice system. This will be accomplished by expanding the successful juvenile drug treatment court pilot from Medellin to seven new regions.

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

PROJECT GOALS

The project's goal is to launch seven new drug treatment courts throughout Colombia in order to reduce criminal recruitment and juvenile drug consumption. The grantee will provide the technical assistance and planning necessary to accomplish this. In the course of the project, the grantee will complete the following:

1. Assess the existing pilot drug treatment court and recommend improvements
2. Design the three-year drug treatment court expansion plan
3. Mentor staff and policymakers to establish drug treatment courts in the target cities
4. Develop a practical training curriculum for future drug treatment court staff
5. Create a monitoring and evaluation plan for drug treatment courts
6. Advise officials on how to maximize future impact of the drug treatment court system

The seven cities included in the project are: Armenia, Barranquilla, Bogotá, Cali, Pereira, Villavicencio, and Yopal.

PROJECT OBJECTIVES

Objective 1: Assess the pilot drug treatment court and recommend process improvements.

Activity 1: *Conduct an evaluation of Medellin's drug treatment court program. This evaluation will provide recommendations to strengthen the program and inform future project design in the seven new cities. The evaluation should include an examination of existing monitoring and evaluation activities.*

Objective 2: Design the three-year drug treatment court expansion plan

Activity 1: *Design the three-year drug treatment court expansion plan. This objective will support the administrative and logistical coordination needed to expand the drug court model into the seven new cities of Colombia. The expansion plan will include timelines for training, mentoring, and monitoring in each of the seven cities, and include a risk mitigation plan.*

Objective 3: Advise and mentor staff and policymakers to establish drug treatment courts in the target cities.

Guide key staff and policymakers to initiate a drug treatment court in each target city according to the implementation plan from Activity 2. The grantee will identify experts with experience in these fields to travel to Colombia and provide the necessary mentorship. While the exact staffing will vary based upon each city's resources and needs, Medellin's pilot drug treatment court included:

- Magistrates (2)
- Judge (1)
- Judicial coordinator (1)
- Prosecutors/*fiscales* (3)
- Public defenders (4)
- Family welfare representative (1)
- Inspector general/*procurador* (1)
- Municipal/mayoral office staff (3)
- Ministry of Justice representatives (3)

Activity 1: *Mentor drug treatment court staff and policymakers to start up a drug treatment court in each target city. This will include on-site meetings with staff, observation of initial court proceedings, and feedback to improve processes. Initial mentoring will include Medellin drug treatment court staff, but should include initial project beneficiaries as mentors as the project advances. These discussions can occur virtually when appropriate.*

Objective 4: Develop a practical training curriculum for future drug treatment court staff

This objective will create the permanent training module that the Colombian government will

use to train future drug treatment court staff and continue to expand the program to other regions in the future. The Colombian government is funding the training of new officials in the seven new cities covered in this project.

Activity 1: *Develop a permanent drug treatment court training module. The trainings modules will cover the drug treatment court legal, treatment, and prevention best practices and procedures, based upon the evaluation and recommendations from Activity 1. Whenever possible, training should be designed to be case-based and practical as opposed to traditional theoretical classroom training. The grantee will provide 30 copies of all written materials, and digital copies of all written and multimedia material.*

Objective 5: Create a monitoring and evaluation plan for drug treatment courts

Activity 1: *Develop an evaluation plan for the drug treatment court system. The guide will include information identified from the evaluation in Activity 1, and be designed to assist the Colombian government with monitoring the operations in the court. The guide will also be used by the grantee to report on the status of new drug treatment courts.*

Activity 2: *Evaluate each new drug treatment court. The grantee will use the guide from Activity 5 to evaluate the state of each new drug treatment court. This will ideally occur towards the end of the project period and after the court has been operating for several months without technical assistance from the grantee. The grantee will include Ministry of Justice and ICBF representatives whenever possible to conduct the evaluation.*

Activity 3: *Monitor the impact of the drug treatment court system upon beneficiaries.*

Activity 4: *Conduct a limited impact study on the graduates of the Medellin Drug Treatment Court pilot project, measuring the resulting recidivism rate compared to the national average.*

Objective 6: Advise officials on how to maximize future impact of the drug treatment court system

Activity 1: *The grantee will advise Ministry of Justice policy makers on ways to increase in the impact of the juvenile drug treatment court system. This includes advice on legislative and regulatory changes that could improve efficiency or efficacy. The deliverable will be a report that describes recommendations, estimated impact, and notional budgetary requirements, if any.*

CROSS-CUTTING AND ADDITIONAL ACTIVITIES

1. Coordination and De-conflicting of Projects

INL Bogota and USAID are funding projects related to justice sector training, corrections and youth programs, including in drug treatment and prevention. The implementer will coordinate this project's training plan with the GOR and other USG implementing partners, especially

implementers of the Universal Treatment Curriculum and Universal Prevention Curriculum. The implementer will inform the GOR in writing if there are concerns during implementation of other programs working in related fields.

2. Buy-in and Local Ownership

The Colombian MOJ and Medellin Drug Treatment Court staff have proven their commitment to continue this program beyond a project period of performance, as demonstrated in the pilot program. The implementer will involve Colombian officials in the development and implementation of this project in order to further build local capacity to expand the program beyond the target regions. The MOJ is already funding the initial site visits, training, and observation for the approximately 20 drug treatment court staff in the seven expansion cities.

TARGET POPULATION

Applicants should identify target audiences, specific demographics, and the region(s) in which the project will be implemented. It is particularly important to specify the approximate number of beneficiaries to be directly and indirectly impacted by project activities.

DESIRED RESULTS AND ILLUSTRATIVE INDICATORS

By the end of the three years of the project, the selected applicant is expected to provide technical assistance, training, and mentoring for the Colombian practitioners and policymakers involved in the expanded juvenile drug treatment court program.

The implementer will develop a project-level performance monitoring plan (PMP) with annual and end-of-project targets for key performance indicators. The following table shows example indicators that will be measured, as well as example illustrative targets, upon which the recipient will be responsible for monitoring and reporting during and after the project. In addition, INL Bogota will regularly monitor the project's performance to assess whether project activities are on track and targets are being achieved.

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

Example Outcome Indicators	***Illustrative targets:***
Number of Colombian youth graduated through the expanded drug court system at conclusion of program.	100
Percentage of Colombian youth participating in drug court system who successfully graduate.	50%
Recidivism rate in first 12 months following graduation through the drug treatment court system.	25%

Output indicators and illustrative targets for the project are provided below. The recipient should

review these and either confirm the illustrative targets or propose alternative targets, as appropriate.

Example Output Indicators	***Illustrative targets:***
Number of Colombian drug treatment courts operating.	7
Number of Colombian drug treatment courts receiving a 90% or better evaluation at conclusion of program	6
Number of Colombian drug treatment court staff mentored.	140

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, certain terms included in the outcomes and indicators will need to be defined at the very beginning of the project so it is possible to measure the change during and at the end of the project. Examples of such terms are "capacity", "spread effect", etc. Baseline information will be critical for both monitoring and evaluation of project progress and results.

[END OF SECTION I]

SECTION II – FEDERAL AWARD INFORMATION

INL expects to award one (1) cooperative agreement based on this NOFO, in an amount not to exceed the total ceiling amount noted on page 1. The anticipated total federal funding amount is up to $1,000,000. The period of performance is three years with an anticipated start date of April 2020. INL may extend the award up to two additional years contingent on INL priorities, good performance of the recipient, Department of State management approval, and funding availability.

The U.S. government will issue award(s) to the responsible applicant(s) whose application(s), conforms to this NOFO, and is the most responsive to the objectives and criteria 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/or (e) waive informalities and minor irregularities in applications received.

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

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

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

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

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

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

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

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

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

[END OF SECTION II]

SECTION III – ELIGIBLITY INFORMATION

(1) Eligibility for this NOFO is limited to:

- Applicants that qualify to receive U.S. grants:
  - U.S.-based not-for-profit/non-governmental organizations (NGOs);
  - U.S.-based educational institutions subject to section 501(c)(3) of the U.S. tax code;
  - Foreign not-for-profit/non-governmental organizations (NGOs); or
  - Foreign-based educational institutions

AND

- Applicants that can develop and successfully implement a project in Colombia and meet INL's reporting requirements.

- Applicants that have demonstrated experience implementing similar education or capacity building programs, preferably in Colombia. *INL reserves the right to request additional background information on organizations that do not have previous experience administering similar programs and/or federal grant awards.*
- Applicants that can produce course materials, deliver training, and conduct evaluations in Spanish and English. The applicant's staff should be proficient in English in order to fulfill reporting requirements.
- Applicants that have existing, or the capacity to develop, active partnerships with stakeholders in order to successfully carry out the proposed program.

Note: The original version of this Notice of Funding Opportunity identified Colombian business registration as a requirement for eligibility, which has since been removed. Applicants are **not** required to prove in-country business registration at the application stage but, pending further review by the Embassy, in-country registration **may** be required of the chosen applicant if INL determines that lack of registration may jeopardize the success of the project.

Organizations may form a consortium and submit a combined proposal. However, one organization should be designated as the lead applicant and other members as sub-award partners.

Public International Organizations (PIOs) and for-profit organizations are excluded from applying to this grant announcement.

To be eligible for a grant award, in addition to other conditions of this NOFO, organizations must have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. 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. INL encourages applications from potential new partners.

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.**

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS

INL urges prospective applicants to immediately confirm their organization's Unique Entity Identifier Number (formerly Dun and Bradstreet (DUNS) number) as well as a current Central Contractor Registration via www.SAM.gov.

All organizations must maintain active SAM.gov registration (with current information) at all times they have an active Federal award or application under consideration by a Federal award agency. SAM.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM.gov. If an applicant has not fully complied with the requirements at the time of application, INL may determine that the applicant is unqualified to receive an award and use that determination as a basis for making an award to another applicant.

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

Organizations physically located outside of the U.S. and territories and wishing to conduct business (contracts/grants) with the U.S. Government, must FIRST request a NCAGE Code, followed by a DUNS Number and then complete the registration process in SAM.gov. U.S.-based organizations wishing to conduct business (contracts/grants) with the U.S. Government to include Foreign Government, please proceed directly to SAM.gov. A U.S. CAGE Code will be assigned at the end of the SAM.gov Registration process.

CAGE/NCAGE Registration

For US-based organizations, a CAGE code will automatically be assigned to your entity once you submit your entity's registration in SAM.gov and the TIN validation has been returned.
NCAGE Codes are required for all foreign entities prior to starting a SAM registration. The organization's name, address, and email information **must** match exactly what you used to request your Unique Entity Identifier (DUNS Number). Please ensure that alphabets, numerical characters, symbols, etc. and spacing is the same in both systems during the registration process. Otherwise, you will receive error messages when applying for the NCAGE code. Organizations can submit a request for an NCAGE Code using the NCAGE Request Tool at https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf. Detailed instructions are posted at that site. For additional information, please call 1-269-961-4623 or send an email message to NCAGE@dlis.dla.mil.

NCAGE registrations for overseas organizations can take up to 10 days (or more) to finalize once a request has been received. Please plan accordingly.

Unique Entity Identifier (DUNS Number)

All applicant organizations (foreign and domestic) must obtain a DUNS number.
US-based organizations may request a DUNS number by calling 1-866-705-5711 or email: SAMHelp@dnb.com; the DUNS number is usually provided immediately. Foreign organizations that do not have a Unique Entity Identifier (DUNS number) will need to go to the Dun & Bradstreet website at http://fedgov.dnb.com/webform/CCRSearch.do?val=1 to start the process for obtaining a DUNS number. *If further assistance is required, please email:* SAMHelp@dnb.com.

NOTE: The organization's name, address, and email information used to request the NCAGE Code must match what is used to request your Unique Entity Identifier (DUNS Number). Please

ensure that alphabets, numerical characters, symbols, etc. and spacing is the same in both systems during the registration process.

SAM.gov Registration

SAM.gov registration is required of all INL applicants prior to registering with www.grants.gov. If your organization was previously registered in the Central Contractor Registry (CCR)**,** you must still create a new Individual User Account in SAM.gov prior to receiving a future federal grant. Applicant organizations can obtain assistance for SAM.gov registration by using the following link: https://www.fsd.gov or by calling **1-866-606-8220** (U.S. calls)/or **1-324-206-7828** (international calls).

NOTE: The organization's name, address, and email information used to request your organization's Unique Entity Identifier (DUNS number) and the NCAGE Code must match what is used to request the SAM.gov validation Please ensure that alphabets, numerical characters, symbols, and spacing is the same in both systems during the registration process. Otherwise, you will receive error messages when registering in SAM.gov.
For U.S.-based organizations that already have a TIN (taxpayer identification number), your SAM registration should take approximately 3-5 business days to process. For U.S.-based organizations applying for an EIN (employer identification number), please allow up to 2 weeks.

Foreign organizations ***must*** have a Unique Entity Identifier number and an NCAGE code prior to completing the SAM.gov registration process. Please follow the above listed instructions to obtain each.

Any applicant listed on the Excluded Parties List System (EPLS) in the System for Award Management (SAM) is not eligible to apply for an assistance award in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR, 1986 Comp., p. 189) and 12689 (3 CFR, 1989 Comp., p. 235), "Debarment and Suspension." 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 ineligible entities are excluded from their applications.

All organizations must also continue to maintain active SAM.gov registration with current information at all times during which they have an active Federal award or application under consideration by a Federal award agency. SAM.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM.gov. If an applicant has not fully complied with the requirements at the time of application, INL may determine that the applicant is unqualified to receive an award and use that determination as a basis for making an award to another applicant.

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

In October 2017, new information was added to the www.SAM.gov website to help international registrations, including "Quick Start Guide for International Registrations" and "Helpful Hints". Navigate to SAM.gov, click HELP in the top navigation bar, then click International Registrants in the left navigation panel.

Grants.gov Registration

To apply for a grant, your organization must complete the Grants.gov registration process. The registration process can take 10 business days or longer, even if all registration steps are completed in a timely manner.

Please log into http://www.grants.gov/web/grants/applicants/organization-registration.html to obtain complete instructions on the registration process.

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

Grants.gov Applications

Please refer to the Grants.gov website for definitions of various "application statuses" and the difference between a submission receipt and a submission validation. Applicants will receive a validation e-mail from Grants.gov upon the successful submission of an application. Validation of an electronic submission via Grants.gov can take up to two business days.

Late applications are neither reviewed nor considered unless the INL point of contact listed in the NOFO is contacted prior to the deadline and is provided with evidence of a system error caused by Grants.gov that is outside of the applicant's control and is the sole reason for a late submission.

Applicants should not expect a separate notification from INL upon receiving their application.

It is the responsibility of the applicant to ensure that it has an active registration in Grants.gov. Applicants are required to document that the application has been received by Grants.gov in its entirety. **INL bears no responsibility for disqualification that result from applicants not being registered before the due date, for system errors in Grants.gov, or other errors in the application process.**

TECHNICAL FORMAT REQUIREMENTS

For all application documents, please ensure:

A. All pages are numbered, including budgets and attachments,
B. All documents are formatted to 8 ½ x 11 paper, and
C. All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with a minimum of 1-inch margins.

TECHNICAL ELIGIBILITY REQUIREMENTS

Technically eligible applications are those that:

- Arrive electronically via Grants.gov by the designated due date and time noted in the NOFO. If reasonable accommodations are granted for persons with disabilities or for security reasons, applications must still be received by INL by the designated due date and time noted in the NOFO;
- Are in English and all costs are in U.S. dollars. If an original document within the application is in another language, an English translation must be provided. If any document is provided in both English and a foreign language, the English language version is the controlling version. (*Please note: the Department of State, as indicated in 2 CFR 200.111, requires that English is the official language of all award documents*);
- Heed all instructions contained in the NOFO, including length and completeness of application, including all required documents; and
- Do not violate any of the guidelines stated in the NOFO.

It is the sole responsibility of the applicant to ensure that all of the documents submitted in the grant application package are complete, accurate, and current. INL strongly encourages all applicants, especially foreign or first-time applicants, to submit applications before the designated due date to ensure that the application has been received and is complete.

REQUIRED APPLICATION DOCUMENTS

Complete applications must include the following items:

1. **Completed and signed SF-424, SF-424A, and SF424B**, submitted via www.grants.gov. (**Tab D** includes instructions for completing Standard Forms 424, 424A, and 424B.)

   Note: The SF-424B is required only for those applicants who have not registered in SAM.gov or recertified their registration in SAM.gov since February 2, 2019.

2. **Cover Page** that includes a table with the organization name, project title, target country/countries, project synopsis, name and contact information for the application's main point of contact, project length (period of performance),and requested funding amount in U.S. dollars (see the award amount ceiling as stated in the NOFO)

3. **Table of Contents** (not to exceed one [1] page in Microsoft Word) listing all documents and attachments, with page numbers.

4. **Executive Summary** (not to exceed two [2] pages in Microsoft Word) that includes:
   a) a statement of work or synopsis of the program, including a concise breakdown of the project's goals, objectives, activities, and expected results, and
   b) a brief statement on how the project is innovative, sustainable, and will have a demonstrated impact.

5. **Proposal Narrative** (not to exceed fifteen [15] pages in Microsoft Word). Please note the page limit ***does not*** include the required documents listed in items #2 - 4 and items #6 – 16.

   A proposal narrative should:
   - Fully explain the program's goals, objectives, and activities. Objectives should be ambitious, yet measurable, results-focused, and achievable in a reasonable time frame. Applicant should explain the project's significance or contribution to the INL mandate specified in the NOFO.
   - Activities should be clearly developed and detailed, and the narrative should clearly articulate how the proposed activities contribute to objectives and overall project goal.
   - Outline the applicant's organizational capacity to implement the proposed program,
   - Outline in detail the program approach, sustainability, potential impact, and complementarity to ongoing efforts.
   - Identify target areas for activities, identify target participant groups or selection criteria for participants, address how the program will engage relevant stakeholders, and identify local partners as appropriate, among other pertinent details. If partners are included, the narrative should clearly describe the division of labor between the direct applicant and partners.

   The proposal narrative should expand upon the risk analysis to provide greater context, operational or programmatic security concerns, and a contingency plan for overcoming

potential difficulties in executing the original work plan.

6. **Monitoring and Evaluation Plan;** (see **TAB B** below for more information on this section);

   A template is provided as an attachment under the announcement via www.grants.gov.

7. **Logic Model;** (see **TAB B** below for more information on this section);

   A template is provided as an attachment under the announcement via www.grants.gov.

8. **Roles and responsibilities of key project personnel with short bios** that highlight relevant professional experience. Given the limited space, CVs/resumes are not recommended for submission.

9. **Timeline of the overall proposal** - Components should include activities, evaluation efforts, and program closeout

10. **Project Risk Analysis**: Please provide the required risk analysis information as noted in **TAB B** of this NOFO.

    A template is provided as an attachment under the announcement via www.grants.gov.

11. **Summary and Detailed Line-Item Budget** (in Microsoft Excel) that includes the following three [3] columns: the amount requested from INL, cost sharing contributions (if any), and total budget (see below for more information on budget format). Applicants must submit a budget summary using the OMB-approved budget categories (see SF-424-A as a sample). Costs must be in U.S. dollars.

    A template is provided as an attachment under the announcement via www.grants.gov.

12. **Budget Narrative** (in Microsoft Word) that includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, INL recommends applicants order the budget narrative as presented in the detailed budget. Personnel costs should include a clarification of the roles and responsibilities of key staff and percentage of time devoted to the project. Applicants that have other USG-funded projects must confirm that the total time devoted by personnel assigned to more than one project does not exceed 100%. The budget narrative should communicate to INL any information that might not be readily apparent in the budget rather than simply repeating with words what is stated numerically in the budget.

    A template is provided as an attachment under the announcement via www.grants.gov.

13. **NICRA:** If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, your latest NICRA must be included as a PDF file. This

document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding, and therefore does not count against the submission page limitations, as described above. If your proposal includes subgrants to organizations charging indirect costs, please submit the applicable NICRA also as a PDF file (see "INDIRECT COST RATE" below for more information on indirect cost rates).

If your organization does NOT have a negotiated indirect cost rate agreement (NICRA) please specify if your organization elects to charge the de Minimis rate of 10% of the Modified Total Direct Costs (MTDC). *Note: MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000*. The de Minimis rate must be included in the detailed budget and an explanation must be provided in the budget narrative.

14. **A copy of your organization's most recent audit** (as required per 2 CFR 200.500 – Subpart F). If an audit cannot be provided, an explanation must be submitted with the proposal submission.

15. **A list of previous and/or current U.S. federal assistance awards received**; please include the awarding agency, point of contact, name of the project, start and end dates, and amount of the award. If a list of previous and/or current U.S. federal assistance awards received cannot be provided, an explanation must be submitted with the proposal submission.

16. **INL Pre Award Annual Survey;** Template provided by INL that reviews the organization's financial capacity and infrastructure.

    A template is provided as an attachment under the announcement via www.grants.gov.

17. **Additional Attachments**; Applicants may choose to submit additional attachments (not to exceed five (5) pages total, preferably in Microsoft Word) to supplement the required documents (e.g. further timeline information, letters of support, memoranda of understanding (MOU)/agreement, etc.)

    Note: For applicants with a large number of letters/MOUs, it may be useful to provide a list of the organizations or government agencies that support the program rather than the actual documentation.

Applications that do not include the required documents will be deemed technically ineligible.

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

[END OF SECTION IV]

TAB A: PROPOSAL GUIDELINES

Proposals should include the following components:

- Introduction and Problem Statement
- Planned Activities
- Indicators

The proposal narrative should:

- Fully explain the program's goals, objectives, and activities. Objectives should be ambitious, yet measurable, results-focused, and achievable in a reasonable time frame. Applicant should explain the project's significance or contribution to the INL mandate specified in the NOFO;
- Clearly develop and detail proposed activities and articulate how the activities will contribute to the project's goals and objectives;
- Outline the applicant's organizational capacity to implement the proposed program;
- Outline in detail the program approach, sustainability, potential impact, and complementarity to ongoing efforts;
- Identify target areas for activities, identify target participant groups or selection criteria for participants, address how the program will engage relevant stakeholders, and identify local partners as appropriate, among other pertinent details. If partners are included, the narrative should clearly describe the division of labor between the direct applicant and partners; and
- Expand upon the risk analysis to provide greater context, operational or programmatic security concerns, and a contingency plan for overcoming potential difficulties in executing the original work plan.

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

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

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

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

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

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

Process Indicator	*50 women trained in energy efficiency standards*

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

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

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

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

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

TAB B: PROGRAM MONITORING AND EVALUATION PLAN, LOGIC MODEL, and PROGRAM RISK ANALYSIS

MONITORING AND EVALUATION PLAN

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

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

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

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

Performance indicators should be clearly defined, and are in many cases quantifiable. Qualitative indicators are encouraged if they provide a reliable means to measure a particular phenomenon or attribute. A good guide for determining the quality of performance indicators is the acronym SMART – i.e., are the indicators: specific, measureable, attainable, realistic, and timely.

Indicators can focus on (i) inputs / process (measures activities or the necessary components for an activity to occur—e.g. training curriculum developed), (ii) outputs (products and services delivered from project activities, and often stated as an amount—e.g. 100 civil society organization members trained in organizational fundraising, 60 radio programs produced), and (iii) outcomes (the specific results of a project, which are often measured as a degree of change—after receiving training on effective engagement in the political process, 40% of female participants ran for a seat in parliament).

LOGIC MODEL

A logic model is a useful tool to help "map" a project. It details planned activities, the immediate services or product of project activities (outputs), and the expected changes or benefits that occur after activities have been implemented (outcomes). Applicants can specify objectives, identify what

resources (inputs) are needed, outline proposed activities (outputs) and beneficiaries, and illustrate how activities lead to expected results. The activities and expected outcomes documented within the logic model should be achievable within the level of funding and timeframe of the project.

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

- A results "Logic Model" planning document (see attached sample Logic Model template)
- 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. (see attached sample Monitoring and Evaluation template)
- 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, including methods or methodology, that will be used.
- Plans should describe the projected outcomes and a dissemination plan where applicable, and how the project's impact and effectiveness will be monitored and evaluated throughout the project.

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

PROGRAM RISK ANALYSIS

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

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.

For more information about the Risk Analysis, please see 2 CFR 200.519.

TAB C: BUDGET GUIDELINES

Applications will not be considered complete unless they include a budget that responds to the NOFO guidelines.

Complete budgets will include:

1. Summary Budget (that includes approved budget categories)
2. Detailed Line-Item Budget (outlining specific cost requirements for proposed activities)
3. Sub-grantee Budgets (if applicable)
4. Corresponding Budget Narrative (to clarify and justify individual line-items (i.e. calculations of how the costs were derived per month or year, their necessity, and overall contribution to the program's cost-effectiveness).

All organizations, including those not offering any cost-sharing (cost share is not a requirement), should submit a detailed line-time budget, formatted to include three columns:

1. INL funding request,
2. Cost-share offered, and
3. Total project funding.

Please note: Grantees under INL-funded programs are responsible for complying with all applicable tax treaties and federal, state, and local laws on tax withholding and reporting for program participants.

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

The three-column proposal line item budget template is provided as an attachment in www.grants.gov.

LINE-ITEM BUDGET NARRATIVE SAMPLE

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

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

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

1) international and/or domestic airfare - Please indicate origin and destination (country/city), number of travelers and unit cost per round trip
NOTE: All travel must be booked with economy class fares only. Applicants must explain differences in fares among travelers on the same routes. Note that all travel, where applicable, must comply with the Fly America Act. For more information see **http://www.gsa.gov/portal/content/103191**.
2) in-country travel - Please indicate origin and destination (city), type of transportation, number of travelers and unit cost per traveler per trip.
3) per diem/maintenance: includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: http:/www.policyworks.gov/. Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.
NOTE: Per diem rates must be prorated and/or removed if applicant will pay for refreshments and/or meals for participants during a workshop/conference.

D. Equipment – 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 considered a supply and listed under cost category E. Please provide justification for any equipment purchase/rental in the budget narrative.
E. Supplies - list items separately using unit costs (and the percentage of each unit cost being charged to the grant) for photocopying, postage, telephone/fax, printing, and office supplies (e.g., Telephone: $50/month x 50% = $25/month x 12 months).

F. Contractual –
a) Subgrants - For each subgrant, please provide a detailed line-item breakdown explaining specific services in a separate tab in the excel workbook. Subgrant budgets should include the same level of detail for personnel, fringe benefits, travel, equipment, supplies, other direct costs, and indirect costs required of the direct applicant. If indirect costs are charged on a subgrant budget, please include the subgrantee's NICRA. Please note that a subgrantee who receives $25,000 or more is required to have a UEI number.
b) Consultant Fees - For example lecture fees, honoraria, travel, and per diem for outside speakers or independent evaluators: list number of people and rates per day (e.g., 2 x $150/day x 2 days). Consultant/outside expert fees/honoraria should be consistent with the level of experience and based on a fair market value. (*NOTE: Consultant Fees and Honorarium should NOT EXCEED $526/day per person*)
G. Construction – Due to the nature of INL programs, construction costs are not allowable or applicable.

H. Other Direct Costs - these will vary depending on the nature of the project. The inclusion of items in this cost category should be justified in the budget narrative. All costs must be allowable, allocable, and reasonable, and consistent with OMB guidelines. Single audit or 2 CFR 200 Subpart F audit costs can be included if they are not part of indirect costs. Only the portion of an

organizational audit cost associated with this project can be included in the budget. **Line items including justifications using words such as "Miscellaneous," "Other," "Etc.", "Contingency Fund," and "Reserve Fund" are not permitted**.

I. Indirect Charges -
An organization with a NICRA should include a copy of their negotiated indirect cost-rate agreement with their application. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding. As such, it does not count against the submission page limitations. Applicants should indicate in the proposal budget how the rate is applied (e.g. to direct administrative expenses, to all direct costs, to wages and salaries only, etc.) and if any of the rate will be cost-shared.

Per 2 CFR 200.414, any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. Per 2 CFR 200.68, MTDC means 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. The budget narrative should include a justification of the MTDC calculation, clearly describing which costs will be covered if using the 10% de minimis indirect rate.

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. The elected methodology 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.

Organizations not applying the de minimis rate of up to 10% of MTDC but claiming indirect costs should have established NICRAs.

If the budget includes subawards, the recipient organization has the responsibility to honor an existing NICRA, negotiate an indirect rate, offer the 10% de minimis, or allow costs to be directly charged to the sub-award budget for each sub-award, per 2 CFR 200.331.iiiv.4. If an organization has an established NICRA the agreement should be submitted with the proposal package.

J. Cost Share/Cost-Effectiveness -
Cost-sharing is the portion of program costs not borne by the Federal Government. While not a competitive element, INL encourages (but does not require) cost sharing, which 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. Examples include the use of office space owned by other entities; donated or borrowed supplies and equipment; (non-federal) sponsored travel costs; waived indirect costs; and project activities, translations, or consultations conducted by qualified volunteers. The values of offered cost-share should be reported in accordance with (the applicable cost principles outlined in) 2 CFR 200.306. Other United States federal funding does not constitute cost sharing.

Explanations 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 and the specific funding amount to be provided by those sources. In addition, it is recommended that the budget narrative address the overall cost-effectiveness of the proposal, including leveraging of institutional or other resources.

Please note: INL programs do not require cost share, but if it is included the recipient must maintain written records to support all allowable costs that are claimed as its contribution to cost share, as well as costs to be paid by the Federal government. 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's contribution may be reduced in proportion to the recipient's contribution.
For information on Shared Cost Allocations, please reference 2 CFR 200.405 https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=c8ac158b49a23a38aa04b1ba0bb242ee&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200_1405.

BUDGET CONDITIONS AND RESTRICTIONS:
The recipient is reminded that funds provided under this agreement must be used in a manner fully consistent with U.S. law. The recipient agrees that none of the funds provided by this award shall be used to lobby for or against abortion. The recipient agrees that none of the funds provided by this award shall be used to pay for the performance of abortion as a method of family planning or to motivate or coerce any person to practice abortions.
Per 2 CFR 200.307 ((e) (1), (2) and (3) of this section please note the following guidance concerning use of Program Income:

- Program income earned during the project period shall be retained by the recipient and, in accordance with the terms and conditions of the award, shall be used in one or more of the ways listed in the following:

1) Added to funds committed to the project by the DOS and recipient and used to further eligible project or program objectives.
2) Used to finance the non-Federal share of the project or program.
3) Deducted from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

INL will consider budgeted line items for the following:

- External evaluations to assess the project's impact (costs must be built into the overall original budget proposal and must be reasonable);
- Costs associated with an internal evaluation conducted by the grantee (costs must be built into the overall original budget proposal and must be reasonable);

- Visa fees, immunizations, and medical insurance associated with program travel;
- A-133 Audit or internal audit for the INL program (or prorated costs that is shared among other Federal Assistance grants/contracts)
- English translation (cost must be built into the original budget proposal and must be reasonable)

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

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

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

TAB D: GUIDELINES FOR STANDARD FORMS

Organizations must fill out, sign, and submit SF-424, SF-424A, and SF-424B forms as directed on www.grants.gov. **Please note that all communications regarding the application will be directed to the points of contact identified on the SF-424 forms**.

I. SF-424 Application for Federal Assistance: Please refer to the following guidelines as you fill out the SF-424 form.

1.**Type of Submission:** Application
2. **Type of Application:** New
3. **Date Received:** Leave blank. This will automatically be assigned.
4. **Applicant Identifier:** Leave blank
5. **Federal Identifiers**
    a. **Federal Entity Identifier:** Leave blank
    b. **Federal Award Identifier:** Leave blank
6. **Date Received by State:** Leave blank. This will automatically be assigned
7. **State Application Identifier:** Leave blank. This will automatically be assigned
8. **Applicant Information:**
    a. **Legal Name:** Enter the legal name of the applicant organization. Do NOT list abbreviations or acronyms unless they are part of the organization's legal name.
    b. **Employer/Taxpayer ID Number (EIN/TIN):** Non-U.S. organizations enter 44-4444444 (no dash).
    c. **Organizational DUNS:** Enter the organization's UEI (Unique Entity Identifier) number. If a UEI/DUNS number is not required at time of submission, please enter 4444-44444 (without the dash).
    d. **Address:** Enter the address of the applicant.
    e. **Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.
    f. **Point of Contact:** Enter the name, title, and all contact information of the person to be contacted on matters involving this application.
9. **Type of Applicant:** Select an applicant type (type of organization).
10. **Name of Federal Agency:** Enter "Department of State"
11. **Catalog of Federal Domestic Assistance Number:** The CFDA number is normally 19.703 or 19.704 or 19.705. However, please see the NOFO to confirm.
12. **Funding Opportunity Number:** Enter the Funding Opportunity Number and title. This number will be automatically completed on electronic applications. Otherwise, it can be found in the NOFO.
13. **Competition Identification Number:** Enter the Competition Identification Number and title. This number will be automatically completed on electronic applications.
14. **Areas Affected by Project:** List the country or countries where program activities will take place in alphabetical order; for programs that will take place in more than one region enter "Global."

15. **Descriptive Title of Applicant's Project:** Enter the title of your proposed program (if necessary, delete pre-printed wording).
16. **Congressional Districts of:**
    a. **Applicant:** If based in the U.S. please enter congressional district; if unknown or a foreign applicant, please enter "90."
    b. **Program/Project:** For congressional district of program, please enter "90."
17. **Proposed Project:**
    a. **Start Date:** Please refer to the NOFO for the estimated start date.
    b. **End Date:** Enter your projected end date.
18. **Estimated Funding ($):**
    a. **Federal:** Enter the amount requested for the program described in the proposal.
    b. **Applicant:** Enter any proposed cost-share. If none, enter "0."
    c. **State:** Enter "0."
    d. **Local:** Enter "0."
    e. **Other:** Enter "0."
    f. **Program Income:** Enter "0."
    g. **TOTAL:** This field will auto-populate based on the numbers in fields a-f.
19. **E.O. 12372:** Enter "c. Program is not covered by E.O. 12372."
20. **Applicant Delinquent on Any Federal Debt?** Select the appropriate box. If you answer "yes" to this question you will be required to provide an explanation.
21. **Certification and Signature of Authorized Representative:** Enter the name, title, and all contact information of the individual authorized to sign for the application on behalf of the applicant organization.

II. SF-424A Budget Information – Non-Construction Programs: Please review the detailed instructions below *before* completing this form online.

***Please note: the person who signs the SF-424A must have legal authority to do so on behalf of the organization*.**

Section A – Budget Summary

Row 1:

a. This should be auto-populated as "INL Grants" However, if it does not, please write "INL ."
b. This should auto-populate. If not, please see the NOFO for the CFDA number.
c. Leave blank.
d. Leave blank.
e. Enter the amount of federal funds requested for this project
f. Enter the amount of any other non-federal funds that will contribute to this project.
g. 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. Columns 2, 3, and 4 should be left blank. In Column 5, the form should automatically calculate the sum.
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
3. 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 applicant cost share or funds from other sources (Cost share is not required)
8a. Under Grant Program enter "INL "
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. Row 12 should automatically calculate the totals.

Section D – Forecasted Cash Needs
13. In the first column enter the amount of federal funds you are requesting for this project. This amount should equal the amount in Section A 1e.

14. In the first column enter the amount of any other funds you will receive towards this project. This amount should equal the amount in Section A 1f.

15. In the first column enter the sum of 13 and 14 (the form should automatically show this sum). This amount should equal the amount in Section A 1g.

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project
Rows 16, 17, 18, 19, and 20 should be left blank.

Section F – Other Budget Information
21. Direct Charges **–** Leave Blank
22. Indirect Charges – If Indirect Charges are shown in Section B 6, enter the type of Indirect Rate used (Provisional, Predetermined, Final, or Fixed)
23. Enter any comments

III. SF-424B Assurances – Non Construction Programs: Please complete the highlighted fields and ensure the document is signed by an Authorized Official. The Authorized Official is generally the grant signatory at the organization or business.

IV. SF-LLL Disclosure of Lobbying Activities (only if applicable): The filing of an SF-LLL form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

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

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

I. TECHNICAL EVALUATION CRITERIA

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

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

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

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

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

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

- Includes a clear articulation of how the proposed program activities contribute to the overall program objectives (3)
- Each activity is clearly developed and detailed (3)
- Provides a comprehensive quarterly work plan for project activities that demonstrates substantive undertakings within the logistical capacity of the organization (3)
- Objectives are clear, specific, attainable, measurable results-focused and placed in a reasonable time frame (3)
- Addresses how the program will engage or obtain support from relevant stakeholders and identifies local partners where appropriate (3)
- Describes the division of labor among the direct applicant, any partners and any potential subgrantees (2)
- Proposal clearly articulates understanding of the security situation/operating environment and plans for ensuring safety of participants (2)
- Includes contingency plans for potential difficulties in executing the original work plan (6)

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

The Monitoring and Evaluation (M&E) Plan includes:

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

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

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

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

- The proposal demonstrates an institutional record of successful programs in the proposed country and the content area (4)
- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives (2)
- Roles, responsibilities, and brief bios/resumes are included for primary staff, and demonstrate relevant professional experience (2)
- Applicant is a current/past Department of State grantee where performance (2)
  was/is on target showed/shows responsible fiscal management
  OR
- The proposal is from a NEW APPLICANT and proposal demonstrates capacity for responsible fiscal management illustrates success in similar sized projects (2)

Cost Effectiveness/Cost Sharing (Total Possible Points - 15):

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

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 – FEDERAL AWARD ADMINISTRATION INFORMATION

Federal Award Notices: The successful applicant(s) will be notified via email that its proposal has been selected to move forward in the review process; this email IS NOT an authorization to begin performance. The Grants Officer is the Government Official delegated the authority by the U.S. Department of State Procurement Executive to write, award, and administer grants and cooperative agreements. The assistance award agreement is the authorizing document and it will be provided to the recipient through email transmission. The recipient may only incur obligations against the award beginning on the start date outlined in the DS-1909 award document that has been signed by the INL Grants Officer. Organizations whose applications will not be funded will also be notified via email by INL. Please refer to the anticipated time to award information in Section II.

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

1) Approval of the recipient's annual work plans, including: planned activities for the following year, travel plans, planned expenditures, event planning, and changes to any activity to be carried out under the Cooperative Agreement;
2) Approval of specified key personnel;
3) Approval of sub-award recipients (if any), and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
4) Approval of Monitoring and Evaluation Plan
5) Other country specific or program specific approvals will be included in the award documents

Terms and Conditions: Recipients will be held to the applicable terms and conditions found at

https://www.state.gov/documents/organization/271865.pdf. It is the recipient's responsibility to ensure they are in compliance with all applicable terms, conditions, and OMB guidance and requirements. Those organizations found to be in non-compliance may be found ineligible for future funding or designated high risk by the Grants Official for an award under this announcement.

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

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

Reporting Requirements:

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

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

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

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

3. The awardee must provide to INL an inventory of all the U.S. government provided equipment purchased with grant funds using the SF-428 forms on an annual basis.

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

Any prospective applicant desiring an explanation or interpretation of this NOFO must request it in

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

Any questions or comments concerning this NOFO must be submitted by email to both Alexandra Paez (PaezA@state.gov) and Katelyn Smith (SmithKB@state.gov) by the deadline for questions indicated at the top of the cover letter.

[END OF SECTION VII]
[END OF DOCUMENT]