

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

|                                                       |                                                                                                                                                                                                                                                                                                                   |
|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Announcement Type:                                    | Request for Federal Assistance Awards Applications                                                                                                                                                                                                                                                                |
| Public Opportunity Title:                             | Mexico Travel and Logistics Program for Training Support                                                                                                                                                                                                                                                          |
| NOFO Opportunity Number:                              | INL17CA0020-INLWHPMexico-04112017                                                                                                                                                                                                                                                                                 |
| Catalog of Federal Domestic Assistance CFDA Number:   | 19.704 – Counter-narcotics                                                                                                                                                                                                                                                                                        |
| Funding Amount:                                       | \$9,000,000.00 U.S. Dollars                                                                                                                                                                                                                                                                                       |
| NOFO Issuance Date:                                   | April 11, 2017                                                                                                                                                                                                                                                                                                    |
| Deadline for Receipt of Questions:                    | June 1, 2017<br>5:00 PM Eastern Standard Time                                                                                                                                                                                                                                                                     |
| Closing Date and Time for Submission of Applications: | June 15, 2017<br>11:59 Eastern Standard Time                                                                                                                                                                                                                                                                      |
| Program Type:                                         | U.S. Embassy Merida Initiative Capacity-Building Assistance Program                                                                                                                                                                                                                                               |
| Grant Program:                                        | International Narcotics and Law Enforcement Affairs-Mexico/ Merida Initiative                                                                                                                                                                                                                                     |
| Assistance Type:                                      | Cooperative Agreement                                                                                                                                                                                                                                                                                             |
| Eligibility Category:                                 | U.S. not-for-profit/non-governmental organizations (NGOs) or U.S. based educational institutions subject to section 501(c)(3) of the U.S. tax code; foreign not-for-profits/non-governmental organizations (NGOs) or foreign based educational institutions; (See full eligibility criteria below in Section III) |
| Applicant Type:                                       | Organizations                                                                                                                                                                                                                                                                                                     |
| Award Ceiling:                                        | \$9,000,000.00                                                                                                                                                                                                                                                                                                    |
| Award Floor:                                          | \$8,000,000.00                                                                                                                                                                                                                                                                                                    |
| Cost Sharing Requirement:                             | Not required but recommended                                                                                                                                                                                                                                                                                      |

## EXECUTIVE SUMMARY

The Bureau of International Narcotics and Law Enforcement Affairs (INL) leads the Department of State's anticrime and counter-narcotics efforts. INL assistance programs help partner nations to build their capacities to extend the reach of justice under the rule of law, including respect for human rights and gender equality, and to deny safe haven to criminals who would otherwise operate with near impunity. The resources entrusted to us, enables INL to deliver technical assistance and capacity to: enhance international drug control through interdiction and supply reduction; develop civilian law enforcement capacity, regional partnerships, and information sharing; and further the administration of justice and corrections under the rule of law with respect for human rights. This mission supports **peace and security** by stabilizing and strengthening security institutions and by combating narco-trafficking and other transnational crimes such as money laundering, criminal gangs, and wildlife trafficking. It promotes **governing justly and democratically** by strengthening justice sector institutions, good governance and respect for human rights.

INL combines forces with other USG and international agencies and takes a regional approach to widespread problems. INL also encourages more developed governments to take responsibility as equal partners in global efforts to support critical country and global programs that combat transnational crime, disrupt illicit trafficking, and build their capacities to extend their reach of justice under the rule of law. The Bureau's priority programs support three inter-related objectives:

- **BUILDING CRIMINAL JUSTICE SYSTEMS:** Institutionalize rule of law by supporting and assisting in capacity building of host nation justice, law enforcement, and corrections institutions, promote human rights and diversity, protect vulnerable groups, and collaborate with multilateral and international partners to establish global standards and accountability mechanisms;
- **COUNTER-NARCOTICS:** Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations, and;
- **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks in the U.S. and its allies to oppose and counter corruption; wildlife crimes; cybercrime; intellectual property rights (IPR) fraud; transnational organized crime; environmental crime; crimes that threaten civilian security; and activities using the proceeds of crime.

## NOTICE OF FUNDING OPPORTUNITY

The United States Department of State, Bureau of International Narcotics and Law Enforcement Affairs, is seeking applications from qualified non-governmental organizations (NGOs), educational institutions, and other qualified organizations for a Cooperative Agreement to implement a program entitled "**Mexico Travel and Logistics Program for Training Support.**" The authority for this Notice of Funding Opportunity (NOFO) is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 2 CFR 200.400g, it is U.S. Department of State policy not to award profit under assistance instruments. All reasonable, allocable, and allowable expenses, however, both direct

and indirect, which are related to the agreement program and are in accordance with applicable cost standards (2 CFR 200 for US and overseas-based non-profit organizations, and universities), may be paid under the cooperative agreement. NOTE: overseas-based nonprofit organizations are legally required to comply with the 2 CFR 200.

Subject to the availability of funds, INL intends to issue an award in an amount not to exceed \$9,000,000.00 in total funding. The U.S. Dollar amount will be funded from INL allocated funds, for an initial project period of one (1) year. INL may award up to four (4) additional years contingent on INL priorities, good performance of the recipient, and funding availability. INL reserves the right to fund any or none of the applications submitted and will determine the resulting level of funding for the award.

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

To be eligible for an award, the applicant must submit all required information in its application through grants.gov (or Grantsolutions.gov, if Domestic), including the requirements found in any attachments to this grants.gov (OR Grantsolutions.gov) opportunity. This NOFO consists of the following Sections:

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This funding opportunity is posted on [www.grants.gov](http://www.grants.gov) and may be amended by INL. See Section IV for further details. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download the most updated version of the Adobe program to their computers in order to view and save the Adobe forms properly. If you have difficulty registering on [www.grants.gov](http://www.grants.gov) or accessing the NOFO, please contact the grants.gov Helpdesk at 1-800-518-4726 or via email at [support@grants.gov](mailto:support@grants.gov) for technical assistance.

It is the responsibility of the recipient of this NOFO document to ensure that it has been received

from Grants.gov in its entirety. **INL bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.**

Any questions concerning this NOFO should be submitted in writing to Grants Officer, Cheryl Price, at [PriceCH@state.gov](mailto:PriceCH@state.gov). The deadline for submission of questions for this NOFO is June 1, 2017, 5:00 PM Eastern Standard Time (EST). Responses to questions will be made available to all potential applicants by posting the Q&As on grants.gov as an attachment.

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 and not be included in the proposed budget of an application.

## **SECTION I – PROGRAM DESCRIPTION**

### **Background**

The Merida Initiative is an unprecedented partnership between the United States and Mexico to fight organized crime and associated violence while furthering respect for human rights and the rule of law. Based on principles of shared responsibility, mutual trust, and respect for sovereign independence, the two countries' efforts have built confidence that is transforming the bilateral relationship. Through the Merida Initiative and its expansion, the United States has forged strong partnerships to improve citizen safety in affected areas to fight drug trafficking, organized crime, corruption, illicit arms trafficking, money-laundering, and demand for drugs on both sides of the border.

In 2009, the United States and Mexico identified four areas of cooperation, known as the Four Pillars of the Merida Initiative:

1. Disrupting the capacity of criminal organizations that act in both countries by weakening their operational, logistical, and financial capabilities.
2. Supporting efforts to strengthen public institutions responsible for combating organized crime, including the promotion of the full observance of rule of law, human rights, and active civil society participation.
3. Developing a secure and competitive border for the 21st century, that assures efficient and secure flows of legitimate commerce and travel while ensuring citizen safety and disrupting the illicit flow of drugs, weapons, bulk cash, and other goods.

4. Building strong and resilient communities in both countries by supporting efforts to address the root causes of crime and violence, especially concerning youth, promote the culture of lawfulness, reducing illicit drug use, encouraging a broader understanding of the links between drug use and crime and violence, and offering constructive, legal alternatives for the development of young people.

Now in its eighth year, bilateral efforts are increasing support for stronger democratic institutions, especially law enforcement, justice systems, and civil society organizations; expanding our border focus beyond interdiction of contraband to include facilitation of legitimate trade and travel; and building strong and resilient communities able to withstand the pressures of crime and violence. For more information, see <https://www.state.gov/j/inl/merida/>.

Reform legislation passed by the Government of Mexico at the federal level changed the mandate and the organizational structures of public security organizations. Pending legislation is expected to do the same at the state and local levels. This capacity-building program supports expanded law enforcement training requirements, both for newly created units and for enhancing existing units, at the federal, state, and local levels. Reform legislation also mandated uniform administrative procedures, training, and standards for public security organizations nationwide. Additionally, anticipated reforms in the judicial process require training of justice personnel and future justice personnel in oral, adversarial judicial procedures.

The Merida Initiative also has a strong focus on civil society and communities, therefore, one aspect of the capacity-building program is to develop programs and skills necessary to implement the objectives and sustain the impact of the Merida Initiative. These and other areas of capacity-building will require the programmatic, logistical, and administrative support to INL.

### **Project Purpose and Description**

The capacity-building program provides training and other relevant activities to appropriate participants with the overall goal of supporting the goals of the Merida Initiative. The award recipient will provide programmatic, logistical, and administrative support to the capacity-building program of INL.

### **PROJECT GOALS/OBJECTIVES**

The award recipient will provide programmatic, logistical, and administrative support to the capacity-building program of INL Mexico. The U.S. government estimates that a minimum of 3,000 and a maximum of 20,000 people will attend INL capacity-building events in a 12-month period. The number of participants per event can range from just a few to over one hundred or more. The events usually last anywhere from one (1) week to six (6) months, but the average event is approximately five (5) to ten (10) days.

An example of an average month would be assisting with coordination of capacity-building programs for 400 participants in ten Mexican states and possibly another country. Most or all of these participants will travel via air. Proposals should include a cost estimate based on the administrative costs of organizational processing of plane tickets, lodging reservations, facilities,

rental, refreshments during the events, bedding supplies, translation, electronic funds transfer, managing conferences and meetings, and other associated costs.

INL understands that costs are estimates and the applicant will not know what fluctuations may exist in pricing over the course of the project period. Therefore, estimates should not be based on individual plane tickets and meeting locations, for example, but rather on the administrative costs of processing participation in capacity-building events for approximately 3,000 participants. Please see Budget Guidelines for more detail.

**The applicant shall be responsible for working with INL regularly in planning and scheduling all events in less than five (5) working days.**

The U.S. government, INL, and the organization will work together to determine the appropriate assistance needed for each capacity-building event. Furthermore, INL and the recipient organization will meet after the award is made to develop a mutually-agreeable work plan for conducting the assistance program. Applicants should provide a suggested work plan in the grant proposal. Additionally, applicant organizations should identify their own specific objectives and measurable outcomes based on these program goals and the specifications provided in this solicitation. Indicators could include timeliness of services, quality of interaction between the award recipient and program participants, etc.

Additional items not listed above may be included detailing INL's involvement in the Cooperative Agreement.

Proposals should include, but are not limited to, the following activities:

**Activity 1 - Travel Documents:** When required, the award recipient is responsible for assisting participants with obtaining appropriate travel documents such as visas, work permits if required, immunization, costs for birth, health, and identity certificates, and other documents needed to attend the capacity-building event. Other requirements will include collection of Annex 3 forms, bank account information, passports, and A2 visas from participants before travel. Only costs authorized by the Cost Principles for Non-Profit Organizations (2 CFR 230) will be allowed. The award recipient is also responsible for ensuring the submission of satisfaction surveys before travel for each event. The surveys will follow the INL provided format in most cases. Awardee should maintain express mail delivery services for delivery of materials or travel documents.

**Activity 2 - Travel Advances and Reimbursement:** When required, the award recipient shall provide the participants, instructors, SMEs, and speakers with a travel advance up to the maximum per diem amount authorized by the U.S. Department of State or lesser amount as determined by the award recipient and INL. The applicant shall ensure the participant receives the travel advance with sufficient time, no later than two days prior to departure, to reduce the financial burden associated with the event. Recipients should provide options for transferring per diem before travel for travelers without a bank account. The awardee will provide participants with a monetary travel advance before travel to cover meals, baggage fees, incidentals, taxis, etc. whenever possible. The advance can be in form of cash, debit card, wire transfer, direct deposit or any other means not prohibited by U.S. or local laws. The recipient organization should have a bank account that does not generate income. Awardee will provide reimbursement for costs associated with

travel, to include per diem, baggage fees, incidentals, taxis, weapons fees when required(WEAP), etc.

**Activity 3 - Airline Tickets/Air Transportation:** When required, the organization shall provide the participant with an airline ticket. All flights must comply with the Fly America Act, the award recipient shall verify participant information such names as in passports, vetting and visas before purchasing e-tickets. Awardee will be responsible for oversight of all arrivals and departures.

**Activity 4 - Health, Travel, and Personal Property Insurance:** When required, the award recipient shall provide each participant, when traveling, with up to the maximum amount of insurance authorized by the FTR or 2 CFR 200. The applicant must ensure that all participants have the appropriate level of insurance before the travel begins. Travel insurance for pilots, and dog handlers will be required in some trainings. International travel insurance coverage should include pre-existent conditions reimbursement for over \$5,000.00. Travel insurance within Mexico is not required for Mexican citizens, as GOM participants have a domestic health insurance.

**Activity 5 - Ground Transportation:** When required, the award recipient shall arrange the use of rented vehicles for individuals or groups to support INL capacity-building events. Ground transportation includes taxis, rented vehicles (sedans), pickup trucks, vans, or buses. If required by the U.S. Embassy Regional Security Office in Mexico, the recipient organization shall take appropriate security measures to protect the safety of participants during the ground transportation process. The protection could include the use of armored vehicles. Ground transportation could include transportation to and from hotels to meeting facilities, to and from the airport and hotel, between sites of interest, etc. The award recipient shall ensure participants arrive at the sponsored event location at least 15 minutes before the event begins and shall take the necessary measures to ensure the vehicles meet Government of Mexico and U.S. Government safety standards. When necessary, drivers hired by the recipient may need to obtain clearances for accessing government facilities.

**Activity 6 - Lodging:** When required, the award recipient is responsible for providing participants with pre-paid lodging such as hotels or apartments using the U.S. Department of State approved per diem rates. In some cases, the U.S. government may be able to obtain lodging at academy dormitories or other facilities. In these cases, the award recipient shall coordinate lodging arrangements directly with the U.S. government representative responsible for the capacity-building event. The award recipient could be required to provide bedding supplies such as pillows, blankets, and other associated supplies. The award recipient shall ensure that rented rooms are of adequate size to sleep one or at least two adults and take the necessary measures to ensure the rented lodging facilities meet U.S. or Government of Mexico sanitary and safety standards. The award recipient shall lease with lodging companies with flexible cancellation policies, to include agreement avoiding cancellation fees and those offering courtesy rooms and/or meeting rooms or parking. Recipient should negotiate prepaid lodging when possible to avoid participant payment and reimbursement.

**Activity 7 – Events, Conferences, and Training Facilities:** When required, the award recipient shall rent conference facilities appropriate for the capacity-building events located in Mexico, the United States, or other countries. The facilities could include small conference rooms with space

for five to ten people or large conference centers with capacity for hundreds of people. In some cases, the U.S. government will coordinate with the Government of Mexico to obtain conference or training facilities such as training academies. The award recipient could be required to provide audio-visual, computer equipment, communications (such as Internet, radios, cell phones, or other communications services), reception, cleaning, interpreter/translation services, administrative support, and supplies to support capacity-building events. The award recipient shall take the necessary measures to ensure the rented conference/training facilities meet U.S. or Government of Mexico sanitary and safety standards. The award recipient may be responsible for pre-paying training fees to public or government institutions. When necessary, the award recipient will provide one or more event assistants for coordination of the on-site event. When necessary, recipient will provide in-country logistics coordinator for conferences and trainings to coordinate events in conjunction with INL Team. Awardee should share logistics schedule with subcontractors and INL point of contacts at least one (1) week in advance of events and provide INL with contact information for subcontracted POCs for coordination onsite.

**Activity 8 - Refreshments and Meals:** When required, the award recipient is responsible for providing participants with government approved per diem or meals such as hot breakfast, lunch, and dinner at locations where the participant cannot obtain meals at public facilities. When needed, the award recipient shall also provide snacks, coffee, tea, and non-alcoholic refreshments during capacity-building events. Snacks and beverages shall be provided in the early morning, a few hours before lunch, and a few hours after lunch. The award recipient shall ensure that coffee, tea, and drinking water are available throughout the duration of the event. The award recipient shall take the necessary measures to ensure food and beverages meet U.S. or Government of Mexico sanitary standards. The award recipient is responsible to provide the maximum per diem rates for travel within Mexico according to the norms published on the “Diario Oficial” of Mexico. GSA rates should be used for overseas per diem rates. The award recipient must pay catering services whenever is required by INL, and/or if the host of the event is the only one who can provide this service.

**Activity 9 – Event Close Out:** The award recipient is responsible for gathering proof of participant attendance, closeout memos, and receipts to be reimbursed no later than 20 working days after the last day of the capacity-building event. The award recipient is responsible for ensuring the submission of satisfaction surveys before travel for each event. The surveys will follow the INL provided format in most cases.

**Activity 10 – Unused Funds Settlement:** When required, the award recipient shall take required actions to recover unused funds resulting from cancellations by participants, vendors, facilities, etc. Voucher settlement includes obtaining receipts from hotels and other documentation. In the event the award recipient owes money to a participant, settlement shall be made no later than twenty (20) working days after the last day of the capacity-building event. Awardee should prepare invoices with VAT expenses for recovery of funds per program and maintain a record of expenses and outstanding amounts per program.

**Activity 11 – Unused E-ticket Funding Reporting:** When required, the award recipient shall track unused e-tickets resulting from cancellations by participants, get reimbursement whenever is possible, and/or reuse the tickets for other travelers. The recipients shall maintain a database of



unused tickets and provide a monthly report to the Grants Officer Representative (GOR) with this information.

**Activity 12 – Database Management:** The award recipient shall maintain accurate digital records of each participant, including name, parent organization, country of origin, event attended, dates, costs per participant, INL project(s) that funded the event, and other information in a format mutually agreed to by the U.S. government and the recipient organization. The recipient will use their final attendance lists to verify that these lists match with those uploaded into the INL Training Tracking System by INL personnel. The recipient will use other potential systems implemented by INL. The recipient organization shall provide this information to the Grants Officer Representative (GOR) no later than thirty (30) days after the completion of each capacity-building event.

**Activity 13 – Merida Initiative Training Center (MITC):** When required, the award recipient shall provide administrative and logistical support to the Merida Initiative Training Center, a conference facility located in the BIO Building in Mexico City with a capacity of 88 personnel. The MITC hosts a series of training events throughout the year for Government of Mexico participants. Activities can vary from high-level executive meetings to week long training events of several hundred participants. Activities may include the setting up training rooms, printing materials for participants, setting up refreshments, greeting and directing participants, or other associated tasks.

**Activity 14 – Monthly reimbursements:** The award recipient is responsible to submit monthly invoices for reimbursement to the Grants Officer and Grants Officer Representative (GOR). The recipient will receive disbursement of funds within 30 working days after the invoice approval. The recipient organization shall take necessary measures for covering monthly expenses from \$300,000.00 USD to \$900,000.00 USD.

**Activity 15 – Prepare Event Materials and Presentations:** The award recipient is responsible for preparing and printing event materials, including travel and event agenda per participant, course packets, event guidebooks, attendance lists, event evaluation forms, name tags, and other materials, as required by INL. (Please see page 34 for Branding and Marking requirements for printed materials.) The recipient may be responsible for the design of certain training manuals, banners, or other materials related to the event. Material should be purchased by recipient through vendors. The recipients may be required to aid in the recruitment of appropriate speakers, Subject Matter Experts (SMEs) or trainers with or without honoraria. Awardee should maintain express mail delivery services for delivery of materials or travel documents.

**Activity 16 – Interpretation and Translation Service:** The award recipient may be responsible for providing translation of academic materials and interpretation services for events.

**Activity 17 – Leahy and Local Vetting:** The services include the awardee assisting INL with the tracking status of personnel nominated to attend INL sponsored events. The tracking includes the awardee coordinating with U.S. government agencies responsible for the vetting process and includes the awardee of maintaining a list of vetted persons. Recipient must receive vetting clearances for each participant before travel. A copy of the INL Leahy and Local Vetting policy is included in this NOFO for reference (see pages 12-13).

**Activity 18 – Exceptional Circumstances:** The award recipient may be responsible for providing ad-hoc administrative and logistical support for travel with 24 or 48 hours in advance on rare occasions. The recipient will accommodate late travel and/or training requests whenever possible.

**Activity 19 – Customer Service and Corrective Action Reports:** Recipient will ensure employees maintain professional and customer-service oriented environment, to include maintaining professional attire and environment in field office. Recipient should provide logistic support during official Embassy working hours. Recipient will provide weekly incidents reports (e.g. issues with travel arrangements or insurance coverage, funds lost on last minute participant cancellation, etc.). Awardee will submit satisfaction surveys per event according to INL’s provided format.

## **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 first year of the project, the selected applicant is expected to provide administrative, logistical, and programmatic support for INL Mexico programs, for a minimum of 3,000 and a maximum of 20,000 people during INL capacity-building events in a 12-month period. The number of participants per event can range from just a few to over one hundred or more. The events usually last anywhere from one (1) week to six (6) months, but the average event is approximately five (5) to ten (10) days. Travel of participants should be conducted within five (5) days or less.

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

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

| <b><i>Example Outcome Indicators</i></b>                             | <b><i>Illustrative targets:</i></b> |
|----------------------------------------------------------------------|-------------------------------------|
| Percentage of rating on customer feedback forms                      | TBD                                 |
| Percentage of travelers receiving advances within two days of travel | TBD                                 |
|                                                                      |                                     |

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.

| <b><i>Example Output Indicators</i></b>                                             | <b><i>Illustrative targets:</i></b> |
|-------------------------------------------------------------------------------------|-------------------------------------|
| Number of after-school programs targeting at-risk youth implemented.                | TBD                                 |
| Number of at risk-youth that received X weeks of tutoring in after-school programs. | 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, certain terms included in the outcomes and indicators will need to be defined at the very beginning of the project so that it is possible to measure the change during and at the end of the project. Examples of such are “capacity”, “spread effect”, etc. Baseline information will be critical for both monitoring and evaluation of project progress and results.

**[END OF SECTION I]**

## SECTION II – FEDERAL AWARD INFORMATION

INL expects to award one (1) cooperative agreement(s) based on this NOFO. The anticipated total federal funding amount is not to exceed \$9,000,000.00. The period of performance is 1 year(s) with an anticipated start date of February 1, 2018. INL may extend the award up to four (4) additional years contingent on INL priorities, good performance of the recipient, and funding availability.

The U.S. government may issue one (1) award resulting from this NOFO to the responsible applicant(s) whose application(s) conforming to this NOFO are the most responsive to the objectives set forth in this NOFO. The U.S. government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

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

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

### **State Department Leahy Amendment Vetting Requirements:**

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

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

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

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

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

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

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

**[END OF SECTION II]**

### **SECTION III – ELIGIBILITY INFORMATION**

(1) Eligibility for this NOFO is limited to:

- Applicants that qualify to receive U.S. grants (such as **U.S. not-for-profit/non-governmental organizations (NGOs) or U.S. based educational institutions subject to section 501(c)(3) of the U.S. tax code; foreign not-for-profits/non-governmental organizations (NGOs) or foreign based educational institutions**, with the ability to develop and successfully implement a project in Mexico and meet INL’s reporting requirements. Organizations must also be able to demonstrate current (or pending) country registration in Mexico, if required by the country of project implementation.

AND

- Must have demonstrated experience implementing similar travel related services, preferably in Mexico and the United States.

- Have existing, or the capacity to develop, active partnerships with the necessary partner organization(s) such as travel agencies, vendors such as airlines, rental car companies, hotels, translation services network with specialized topics, travel insurance enterprises in order to successfully fulfill the proposed program. Applicants must have demonstrated experience implementing similar education or capacity building programs. INL reserves the right to request additional background information on organizations that do not have previous experience administering similar programs and/or federal grant awards.
- Applicants must have the ability to produce course materials, deliver training, and conduct evaluations in Spanish and English. The applicant's staff should be proficient in English in order to fulfill reporting requirements.
- Applicants must have existing, or the capacity to develop, active partnerships with stakeholders in order to successfully carry out the proposed program.
- Organizations may form a consortium and submit a combined proposal. However, one organization should be designated as the lead applicant.
- Applicants must be able to respond to the NOFO and be able to mobilize in a short period of time.

***PLEASE NOTE: Public International Organizations (PIOs) and For-Profit Organizations are excluded from applying to this grant announcement. (Please note: INL does not issue grants or cooperative agreements to these type organizations.)***

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

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

(2) INL encourages applications from potential new partners.

**[END OF SECTION III]**

## **SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS**

**INL urges prospective applicants to immediately confirm their organization has a current Unique Entity Identifier (Dun and Bradstreet number) as well as a CAGE/NCAGE number prior to registering with the current Central Contractor Registration via [www.sam.gov](http://www.sam.gov). Additionally, please ensure that registration in the following systems is in a current/active status prior to your organization's application submission.**

## **Unique Entity Identifier (DUNS Number)**

All organizations (foreign and domestic) must obtain a DUNS number. **US-based organizations** may request a DUNS number by calling 1-866-705-5711; the DUNS number is usually provided immediately.

**Foreign organizations** that do not have a Unique Entity Identifier (DUNS number) will need to go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform/pages/CCRSearch.jsp> to obtain the number. *\*The webform requests generally takes 1-2 business days.*

## **CAGE/NCAGE Registration**

For US-based organizations, a CAGE code will automatically be assigned to your entity once you submit your entity's registration in SAM.gov and the TIN validation has been returned.

NCAGE Codes are required for all foreign entities prior to starting a SAM registration. **PLEASE NOTE: The organization's name, address, and email information used to request your NCAGE Code must match what you used to request your Unique Entity Identifier (DUNS Number).** Otherwise, you will receive error messages when applying for the NCAGE code. You can submit your request for an NCAGE Code using the NCAGE Request Tool at <https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>. Detailed instructions are posted at that site. For additional information, please call 1-269-961-4623 or send an email message to [NCAGE@dlis.dla.mil](mailto:NCAGE@dlis.dla.mil).

## **SAM.gov Registration**

SAM.gov registration is required of all INL applicants prior to registering with Grants.gov. (Applicants must ensure that their DUNS and NCAGE numbers are registered prior to registering with SAMS.gov.) If your organization was previously registered in the Central Contractor Registry (CCR), you must still create a new Individual User Account in SAM prior to receiving a future federal grant. Applicant organizations can obtain assistance for SAM.gov registration by using the following link: <https://www.fsd.gov> or by calling 1-866-606-8220 (U.S. calls)/or 1-324-206-7828 (international calls). **PLEASE NOTE: The organization's name, address, and email information used to request your organization's Unique Entity Identifier (DUNS number) and the NCAGE Code must match what is used to request the SAM.gov validation.** Otherwise, you will receive error messages when registering in SAM.gov.

US-based organizations that already have a TIN (taxpayer identification number), your SAM registration will take 3-5 business days to process. US-based organizations applying for an EIN (employer identification number), please allow up to 2 weeks.

Foreign organizations **must** have a DUNS number and an NCAGE code prior to completing the SAM.gov registration process.

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

## **Grants.gov Registration**

In order to apply for a grant, your organization must complete the Grants.gov registration process. Registration can take between three-five business days or as long as two weeks if all steps are not completed in a timely manner. Please log into <http://www.grants.gov/web/grants/applicants/organization-registration.html> to obtain complete instructions on the registration process.

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

## **TECHNICAL FORMAT REQUIREMENTS**

### **For all application documents, please ensure:**

- A. All pages are numbered, including budgets and attachments,
- B. All documents are formatted to 8 ½ x 11 paper, and
- C. All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with a minimum of 1-inch margins.
- D. All documents must be submitted in English. ***(Please note: Per Department policy, English is the official and controlling language for all submitted application/award documents.)***

### **Complete applications must include the following for proposal submissions:**

- 1. **Completed and signed SF-424, SF-424A, and SF424B**, submitted via grants.gov (OR grantsolutions.gov), as well as, if applicable (*Please see Tab D for instructions for completion of Standard Forms 424, 424A, and 424B.*)
- 2. **A copy of your organization’s most recent 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.
- 3. **Cover Page** that sets forth proposal title, name of lead applicant, names of any other participating organizations, name and number of the Target Themes to which the proposal responds, and requested funding amount in U.S. dollars (see the award amount ceiling as stated in the NOFO)
- 4. **Table of Contents** (not to exceed one [1] page in Microsoft Word) that includes a page-numbered contents page, including any attachments.
- 5. **Executive Summary** (not to exceed two [2] pages in Microsoft Word) that includes:
  - a) the target country(ies),
  - b) name and contact information for the project’s main point of contact,
  - c) statement of work or synopsis of the program, including a concise breakdown of the project’s objectives, activities, and expected results,
  - d) the total amount of funding requested and program length, and
  - e) brief statement on how the project is innovative, sustainable, and will have a demonstrated impact.



6. **Proposal Narrative** (not to exceed fifteen [15] pages in Microsoft Word). Please note the 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).
7. **Summary and Detailed Line-Item Budget** (preferably in Microsoft Excel) that includes three [3] columns including the request to INL, any cost sharing contribution, and total budget (see below for more information on budget format). A summary budget should also be included using the OMB approved budget categories (see SF-424 as a sample). Costs must be in U.S. dollars.
8. **Budget Narrative** (preferably in Microsoft Word) that includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, INL recommends applicants order the budget narrative as presented in the detailed budget. Personnel costs should include a clarification of the roles and responsibilities of key staff and percentage of time devoted to the project. If applicable, this document shall include vendors and sub-contract expenses according to their definitions. The budget narrative should communicate to INL any information that might not be readily apparent in the budget, not simply repeat with words what is stated numerically in the budget.
9. **NICRA** If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, your latest NICRA must be included as a .pdf file. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding and therefore does not count against the submission page limitations, as described above. If your proposal involves subgrants to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file (see “INDIRECT COST RATE” below for more information on indirect cost rates).  
If your organization does NOT have a negotiated indirect cost rate agreement (NICRA) please specify if your organization elects to charge the de minimis rate of 10% of the modified total direct costs. The de minimis rate must be included in the detailed budget and an explanation must be provided in the budget narrative.
10. **Monitoring and Evaluation Plan** (see **TAB B** below for more information on this section).
11. **Roles and responsibilities of key program personnel with short bios** highlighting relevant professional experience. This relates to the organization’s capacity. Given the limited space, CVs are not recommended for submission.
12. **Timeline of the overall proposal** to include activities, evaluation efforts, and program closeout
13. **A list of previous and/or current federal assistance awards received.** Please include the awarding agency, point of contact, name of the project, start and end dates, and amount of the award.
14. **Program Risk Analysis** as noted in **TAB B** of this NOFO (applicant provides an overview of possible risks associated with the program along with mitigating determinations for each risk).
15. **INL Pre-Award Survey Form** – template provided by INL that reviews the organization’s business practices, financial capacity and infrastructure.
16. **Attachments** (not to exceed **three (3)** pages total, preferably in Microsoft Word) that include the following in order:
  - a) **Additional optional attachments.** Attachments may include further timeline information, letters of support, memoranda of understanding (MOU)/agreement, etc. For applicants with a large number of letters/MOUs, it may be useful to provide a list of the organizations or government agencies that support the program rather than the actual documentation.

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

## **ADDITIONAL INFORMATION**

### **OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS**

Organizations should be familiar with 2 CFR 200 on cost accounting principles. For a copy of the OMB circular cited, please contact Government Publications or download from [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](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 as well.**

### **AUDITS**

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

- 1) Complies with the requirements of 2 CFR 200 Subpart F "Audit Requirements;"
- 2) Complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, "Audits of Not-for-Profit Organizations Receiving Federal Awards;"
- 3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, "Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents," where applicable. When the U.S. Department of State is the largest direct source of Federal financial assistance (i.e., the cognizant Federal Agency) and indirect costs are charged to Federal grants, a supplemental schedule of indirect cost computation is required;
- 4) A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200 subpart F. *The audit costs shall be identified by 2 CFR 200.435.*

### **INDIRECT COST-RATE**

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

**[END OF SECTION IV]**

## TAB A: PROPOSAL GUIDELINES

### Proposals should include the following components:

- Introduction and Problem Statement
- Planned Activities
- Indicators

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

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

| Planned Activity                                                                                                                                                                                        | Contingency                                                                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>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.</i> | <i>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.</i> |

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<br>→ 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:

|                          |                                                        |
|--------------------------|--------------------------------------------------------|
| <b>Process Indicator</b> | <i>50 women trained in energy efficiency standards</i> |
|--------------------------|--------------------------------------------------------|

**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:

|                         |                                                                                                      |
|-------------------------|------------------------------------------------------------------------------------------------------|
| <b>Output Indicator</b> | <i>80 percent of participants demonstrate at least 75 percent cognizance of efficiency standards</i> |
|-------------------------|------------------------------------------------------------------------------------------------------|

**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:

|                          |                                                                                                                                    |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------------|
| <b>Outcome Indicator</b> | <i>30 percent of efficiency standards being implemented in a participant's country as a result of participant's participation.</i> |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------------|

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

## **TAB B: PROGRAM MONITORING AND EVALUATION PLAN and PROGRAM RISK ANALYSIS**

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

- Setting objectives that are specific, measurable, attainable, results-focused, and placed in a reasonable time frame (SMART);
  - Specific – indicators need to be specific and relate to changes in conditions of beneficiaries that can reasonably be attributed to, or be credibly associated with, the project;
  - Measurable – both quality and quantity indicators are useful, quantifiable indicators--to the extent that they are appropriate and available--are preferred because they are precise and can in some cases be aggregated;
  - Achievable and attainable – the indicator (information) must be attainable within the timeframe of the project and at reasonable cost;
  - Realistic and relevant – indicators should be relevant to the management information needs of stakeholders who will use the data;
  - Time bound – indicator that provides information on the timeframe, within which accomplishments need to be achieved.
- Linking project activities to stated objectives;
- Developing key performance indicators that measure realistic progress towards the objectives.

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

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

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

- A results “Logic Model” planning document (see sample Logic Model template attached in grants.gov as a sample document)
- Indicators, as described in Tab A, as well as details on how each indicator will be measured, frequency of the measurements, units of measure, etc. Provide indicators at the output and outcome levels. Monitoring and evaluation plans should include a chart component that clearly delineates indicators and targets. 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 will be monitored and evaluated throughout the project.

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

## **RISK ANALYSIS**

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

## **TAB C: INL BUDGET GUIDELINES**

Complete budgets will provide a detailed line-item budget outlining specific cost requirements for proposed activities. A minimum of three columns should be used to delineate the bureau funding request, cost-share by applicant, and total project funding. Complete applications will include a

budget narrative to clarify and justify individual line-items (i.e. calculations of how the costs were derived per month or year, their necessity, and overall contribution to the program's cost-effectiveness).

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

|                                                          |                       | INL Request | Cost Share | Total |
|----------------------------------------------------------|-----------------------|-------------|------------|-------|
| <b>A. PERSONNEL</b>                                      |                       |             |            |       |
| 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 Program Assistant salary (x months or year) | X% of \$X/yr          |             |            |       |
| <b>Subtotal Personnel</b>                                |                       |             |            |       |
| <b>B. FRINGE BENEFITS</b>                                |                       |             |            |       |
| 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 Program Assistant fringe (x months or year) | X% fringe             |             |            |       |
| <b>Subtotal Fringe Benefits</b>                          |                       |             |            |       |
| <b>C. TRAVEL</b>                                         |                       |             |            |       |
| 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/#<br>day/# pax   |  |  |  |
| <u>Activity 2: Town Hall Meeting</u>              |                          |  |  |  |
| -Staff Travel (# staff)                           | \$X/RT<br>flight/# staff |  |  |  |
| -Staff Per Diem (X days)                          | \$X/day/#<br>day/# staff |  |  |  |
| -Participant Travel (# participants)              | \$X/trip/#<br>pax        |  |  |  |
| -Participant Per Diem (X days)                    | \$X/day/#<br>day/# pax   |  |  |  |
| <b>Subtotal Travel</b>                            |                          |  |  |  |
| <b>D. EQUIPMENT</b>                               |                          |  |  |  |
| a) Primarily H.Q.-Based Equipment (if applicable) |                          |  |  |  |
| -H.Q.-equipment (if applicable)                   | \$X/unit                 |  |  |  |
| d) Primarily Field-Based Equipment                |                          |  |  |  |
| -Field-equipment                                  | \$X/unit                 |  |  |  |
| <b>Subtotal Equipment</b>                         |                          |  |  |  |
| <b>E. SUPPLIES</b>                                |                          |  |  |  |
| a) Primarily H.Q.-Based Supplies (if applicable)  |                          |  |  |  |
| -Printing and Photocopying (X months)             | X% of<br>\$X/yr          |  |  |  |
| b) Primarily Field-Based Supplies                 |                          |  |  |  |
| -Markers and dry erase board                      | \$X/set                  |  |  |  |
| -Telephone (X months)                             | X% of<br>\$X/yr          |  |  |  |
| -Office Supplies (X months)                       | X% of<br>\$X/yr          |  |  |  |
| <b>Subtotal Supplies</b>                          |                          |  |  |  |
| <b>F. CONTRACTUAL</b>                             |                          |  |  |  |
| 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                 |  |  |  |
| <b>Subtotal Contractual</b>                       |                          |  |  |  |
| <b>G. CONSTRUCTION</b>                            | <b>N/A</b>               |  |  |  |
| <b>H. OTHER</b>                                   |                          |  |  |  |
| a) Other Direct Costs                             |                          |  |  |  |
| -Field Office Rent (X months)                     | X% of<br>\$X/mo          |  |  |  |
| <b>Subtotal Other</b>                             |                          |  |  |  |
| <b>I. TOTAL DIRECT CHARGES</b>                    |                          |  |  |  |

|                                       |  |  |  |  |
|---------------------------------------|--|--|--|--|
| <b>(Sum of A-H Subtotals)</b>         |  |  |  |  |
| <b>J. INDIRECT CHARGES</b>            |  |  |  |  |
| a) Indirect Costs/NICRA (X% of costs) |  |  |  |  |
| <b>Subtotal Indirect Charges</b>      |  |  |  |  |
| <b>K. TOTAL COSTS (Sum I-J)</b>       |  |  |  |  |

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

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

### **Allowable Project Costs**

The cost principles below address four tests in determining the permissibility of costs. These four tests apply regardless of whether the particular category of costs is one specified in the cost principles or one governed by other terms and conditions of an award. These tests also apply regardless of treatment as a direct cost or an indirect cost. The fact that a proposed cost is awarded as requested by an applicant does not indicate a determination of permissibility.

**1. Reasonable:** A cost is reasonable if, in its nature or amount, it does not exceed that which would be practical under the circumstances prevailing at the time the decision was made to incur the cost. The cost principles elaborate on this concept and address considerations such as whether the cost is necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public at large, as well as to their organization.

**2. Allocable:** A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable to a grant if it is incurred solely in order to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.

**3. Conforming:** A cost conforms if it matches with any limitations or exclusions set forth in the Federal cost principles outlined in the award terms and conditions. These costs may vary in type of activity, the type of recipient, and other characteristics of individual awards.

**4. Consistent:** A cost must be consistent with regulations, policies, and procedures of the recipient that apply uniformly to both Federally supported and other activities of the organization. Recipients must be consistent in assigning costs to cost objectives. They must be treated consistently for all work of the organization under similar circumstances, regardless of the source of funding, so as to avoid duplicate charges (e.g., direct costs, indirect costs, cost sharing).



## Budget Definitions

**Authorized Representative:** The individual authorized to act on behalf of the applicant and assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or awards. This person will be the signatory on the SF-424 and SF-424b forms.

**Consultant:** An individual or organization who gives professional advice and provides services for a fee and is not a direct hire employee of an award recipient's organization. Typically a consultant performs a one-time activity. All consultants require prior approval from INL and must be included the budget and proposal.

**Sub-Contract:** A sub-contract under a grant may be awarded for two purposes: 1) goods or services needed to support the award recipient's performance of the project or program, or 2) an award to a third party for performance of substantive programmatic work. The first category is termed "vendor relationship," and is described in more detail below under "Vendor." The second category is termed "sub-recipient relationship" and may be in the form of a contract under the grant or, in some cases, a sub-award. More detail on the "sub-recipient" relationship is detailed below under "Sub-Award or Sub-Recipient or Sub-Award recipient." The relationship rather than the terminology drives the governing requirements for these two relationships. All contracts require prior approval from NAS and must be included in the budget and proposal.

**Cost sharing:** *Cost sharing*, *match*, and *in-kind* contributions are terms that refer to project costs that are supported by funding sources other than NAS. Although the terms are sometimes used interchangeably, NAS defines *direct cost sharing* as out-of-pocket project costs contributed by the proposed project. *Match* is defined as funding that is pledged to match a portion of NAS funding and may be in the form of cash or a third party in-kind contribution. *In-kind contribution* refers to non-cash contributions generally provided by a third party that can be assessed a cash value. Units are responsible for tracking in-kind contributions.

**Direct Costs:** Costs used for salaries, travel, equipment, supplies, contractual arrangements, and tangible goods or services associated with this project.

**Indirect Costs:** Costs that cannot be identified readily and specifically with a particular sponsored project, program, or activity, but are necessary to the operation of the organization (e.g., overhead, facility maintenance). These costs require a negotiated indirect cost rate (NICRA); otherwise, they must be charged directly and justified in detail.

**Project Costs:** The total allowable costs incurred by a recipient and charged to the award during a budget period. These costs may include those costs supported by Federal funds, costs contributed by the recipient to meet a matching requirement, and the value of any third-party in-kind contributions counted toward the recipient's matching requirement.

**Sub-Recipient or Sub-Awardee or Sub-Award recipient:** Sub-recipients may work for the prime recipient of major projects or for companies that need specific tasks completed in a limited

period. Companies enter into sub-awarding arrangements usually because they do not have the expertise in-house, and they need the services for a period that is not long enough to justify hiring a full-time person. In this role, sub-awardees may:

1. Perform a substantive portion of the proposed Statement of Work incorporated into the prime award.
2. Collaborate in the project design/proposal development.
3. Provide scope of work and budget as part of the proposal preparation.
4. Complete work promised and analyzes results found; collaborates on design.
5. Have responsibility for internal programmatic decision-making and design.
6. Be responsible for adhering to the applicable Federal programmatic compliance requirements.

**Sub-Recipient:** A third-party individual or organization who receives an award for the performance of certain programmatic work. All sub-recipients require prior approval from INL/Mexico and must be included in the applicant proposal and submit a detailed budget. The receiving organization (sub-recipient):

- Has its performance measured against whether the objectives of the award recipient's project are met;
- Has responsibility for programmatic decision making (to the extent specified in its contract/sub-award);
- Has responsibility for adherence to applicable grant compliance requirements; and
- Uses their awarded federal funds in conjunction with a program of the organization as compared to providing goods or services for a program of the pass-through entity.

**Vendor:** Vendors sell identical or similar products to different customers as part of their regular operations and operate in a competitive environment in which customers typically compare product characteristics before making a purchase decision. These characteristics include suitability, performance, price and guarantee. Large companies may enter into supply contracts with several vendors to ensure that problems with one supplier do not shut down the entire supply chain. They do not participate/collaborate in project design/proposal development. Services are part of the vendor's regular business operations and are available to many different purchasers/customers at standard/fixed rates. These services tend to be more routine in nature.

An organization who receives funding from the award recipient for the procurement of a good or service needed to support the award recipient's performance of the project. A vendor relationship is one under which the receiving organization (vendor):

- Provides the goods and services within normal business operations or to many different purchasers;
- Operates in a competitive environment;
- Provides goods or services that are supplementary to the operation of the award recipient's project; and
- Is not subject to federal programmatic compliance requirements.

When an award recipient obtains routine goods and services necessary for performance of the grant-supported project, it may be through activities chargeable to indirect costs (e.g., acquisition of audit services) or, as appropriate, through a direct charge (i.e., contractual).

## LINE-ITEM BUDGET NARRATIVE –

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

**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. Fringe benefit application must be consistent with organization's written policy.

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

**1) International and/or domestic airfare** - Please indicate origin and destination (country/city), number of travelers and unit cost per round trip

NOTE: All travel must be booked with economy class fares only. Applicants must explain differences in fares among travelers on the same routes. Note that all travel, where applicable, must comply with the Fly America Act. For more information see <http://www.gsa.gov/portal/content/103191>.

**2) In-country travel** - Please indicate origin and destination (city), type of transportation, number of travelers and unit cost per traveler per trip.

**3) Per diem/maintenance:** includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: <http://www.policyworks.gov/>. Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.

NOTE: Per diem rates must be prorated and/or removed if applicant will pay for refreshments and/or meals for participants during a workshop/conference.

**D. Equipment** – please provide justification for any equipment purchase/rental, defined as tangible personal property having a useful life of more than one year and an acquisition cost of \$5000 or more.

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

**F. Contractual** –

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

**b) Consultant Fees** - For example lecture fees, honoraria, travel, and per diem for outside speakers or independent evaluators: list number of people and rates per day (e.g.,  $2 \times \$150/\text{day} \times 2 \text{ days}$ ). Consultant/outside expert fees/honoraria should be consistent with the level of experience and based on a fair market value. (NOTE: *Consultant Fees and Honorarium should NOT EXCEED \$655/day*)

**G. Other Direct Costs** - these will vary depending on the nature of the project. The inclusion of each should be justified in the budget narrative. All costs must be allowable, allocable, and reasonable, and consistent with OMB guidelines. Line items such as “Miscellaneous,” “Other,” “Contingency

**Fund,” and “Reserve Fund” are not permitted.**

**H. Indirect Charges** - See 2 CFR 200.414 , "Indirect Costs"

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

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

**BUDGET CONDITIONS AND RESTRICTIONS:**

The Recipient is reminded that funds provided under this agreement must be used in a manner fully consistent with U.S. law. The recipient agrees that none of the funds provided by this award shall be used to lobby for or against abortion. The recipient agrees that none of the funds of the organization 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 Department and recipient and used to further eligible project or program objectives.
  - 2) Used to finance the non-Federal share of the project or program.
  - 3) Deducted from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

- It is emphasized, however, that the above three alternatives are applicable only when the grantee is a non-profit entity. Any grant to a commercial firm must state that the first of the alternatives is not available for program income earned by the grantee. (GAO noted in its Principles of Federal Appropriations Law at 10-57, that “This approach [option (1)] increases program size. Both OMB and GAO have expressed preference for the deduction method [option (3)] since it results in savings to the federal government and to grantees.”)

INL will consider budgeted line-items for the following:

- External evaluations to assess the project’s impact (costs must be built into the overall original budget proposal and must be reasonable);
- Costs associated with an internal evaluation conducted by the grantee (costs must be built into the overall original budget proposal and must be reasonable);
- Visa fees, immunizations, and medical insurance associated with program travel;
- A-133 Audit or internal audit for the INL program (or prorated costs that is shared among other Federal Assistance grants/contracts)
- English translation (cost must be built into the original budget proposal and must be reasonable)

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

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

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

## **TAB D: GUIDELINES FOR STANDARD FORMS**

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

1. Type of Submission: *Application*
2. Type of Application: *New*
3. Date Received: *Leave blank. This will automatically be assigned*
4. Applicant Identifier: *Leave blank*
- 5a. Federal Entity Identifier: *Leave blank*
- 5b. Federal Award Identifier: *Leave blank*
6. Date Received by State: *Leave blank. This will automatically be assigned*
7. State Application Identified: *Leave blank. This will automatically be assigned*
- 8a. Enter the legal name of the applicant organization.
- 8b. Employer/Taxpayer ID Number: *(Non U.S. organizations leave blank)*
- 8c. Organizational DUNS: Organizations can request a DUNS number at <http://fedgov.dnb.com/webform>
- 8d. Enter the full address of the applicant
- 8e. Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable
- 8f. Enter the name, title, organization, and contact information of person to be contacted on matters involving this application
9. Select an applicant type (type of organization)
10. Enter: *Department of State*
11. Enter: the CFDA number is **(19.704)**
12. Enter the Funding Opportunity Number and title. *(As noted on Page 1 of this announcement.)*
13. Enter the Competition Identification Number and title. *For grants.gov, leave blank.*
14. Areas Affected by Project: *List the country or countries where project activities will take place in alphabetical order; for projects that will take place in more than one region enter “Global”.*
15. Enter the title of the proposed project (if necessary, delete pre-printed wording)
- 16a. Enter congressional district of Applicant. *(foreign applicants please enter “90.”)*
- 16b. Enter: *(foreign applicants, please enter “00”)*
- Program: *Leave blank*
17. Enter a start date and a projected end date
18. Enter the amount requested for the project under “Federal” (18a); enter any cost-share under “Applicant” (18b).
19. Enter “c”
20. Select the appropriate box. If you answer “yes” to this question you will be required to provide an explanation.
21. Enter the name, title, and contact information of the individual authorized to sign for the application.

**[END OF SECTION IV]**

## **SECTION V – APPLICATION REVIEW INFORMATION**

The technical applications and proposal submissions will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Technical evaluation of applications will be based on the

extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

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

## **I. TECHNICAL EVALUATION CRITERIA**

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

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

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

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

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

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

- Includes a clear articulation of how the proposed program activities contribute to the overall program objectives (3)
- Each activity is clearly developed and detailed (3)
- Provides a comprehensive quarterly work plan for project activities that demonstrates substantive undertakings within the logistical capacity of the organization (3)
- Objectives are clear, specific, attainable, measurable results-focused and placed in a reasonable time frame (3)
- Addresses how the program will engage or obtain support from relevant stakeholders and identifies local partners where appropriate (3)
- Describes the division of labor among the direct applicant, any partners and any potential subgrantees (3)
- 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 (5)

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

- The overhead and administration of the proposal, including salaries and benefits, and honoraria, are explained and justified for the work involved (6)
- All budget items are necessary, appropriate and linked to program objectives (5)
- Personnel costs are reasonable for the work involved (4)

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

**COST EVALUATION**

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

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



responsibility determination.

## [END OF SECTION V]

## SECTION VI – FEDERAL AWARD ADMINISTRATION INFORMATION

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

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

### Substantial Involvement:

INL Mexico may be substantially involved during the implementation of this Cooperative Agreement. This includes, but is not limited to, the following activities:

- 1) Approval of the recipient's annual work plan, 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 key personnel prior to hiring.
- 3) Approval of sub-award recipients (if any), concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies
- 4) Approval of Monitoring and Evaluation Plan.
- 5) Participation in the design and direction of program activities.
- 6) Guidance in the execution of all program components.
- 7) Approval and input on program timelines and agendas.
- 8) Review and approval of all program publicity and recruitment materials.
- 9) Approval of decisions related to special circumstances or problems throughout the duration of the program.
- 10) Weekly revisions on the progress of program activities.
- 11) Assistance with participant emergencies.
- 12) Liaison for relevant U.S. and Government of Mexico personnel, and personnel from other governments.
- 13) Monthly revisions on the activity progress, such as completed requirements, missing arrangements, and estimated amounts to be paid by INL per activity.
- 14) Monthly revisions of budget committed, unliquidated, and liquidated per project code specific to each INL program.

- 15) Maintain a Cooperative of Agreement binder with award docs, amendments, personnel contracts, Fly America Act waiver forms, relevant communications, etc.
- 16) Approval of vendors providing services to the recipient with a year contract such as travel agencies, travel insurance, personnel insurance, accounting firms, labor companies, interpretation services.
- 17) Assure the use of INL corporate mileage tour codes on the corresponding airline reservations tickets.

**Terms and Conditions:** Recipients will be held to the applicable terms and conditions found at <https://www.statebuy.state.gov/fa/Pages/TermsandConditions.aspx>.

It is the Recipient's responsibility to ensure they are in compliance with all applicable terms, conditions, and OMB guidance and requirements. Those organizations found to be in non-compliance may be found ineligible for funding or designated high risk.

**2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Project-Specific 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. The INL logo may also be used in conjunction with or in place of the U.S. flag, pending the INL Grants Officer prior approval. **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 31
  - Fourth Quarter (July 1 – September 30): Report due by October 31
  - Monthly reports: includes progress of program activities, commitments, liquidations, and unliquidations: Reports due by 30 calendar days after the last day of the Month unused and reused e-tickets data base report: Report due by 30 calendar days after the last day of the month
  - Weekly incident reports: includes any inconvenience arose per activity, name of the travelers involved, amount lost if applies.

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 (due to non-compliance, or lack of progress with the award) may be required to submit more extensive and/or more frequent progress or financial reports, in addition to those noted above, until their high risk designation has been removed by the Grants Officer. Other requirements, as deemed necessary by the Grants Officer, may be imposed as noted in 2 CFR 200.
3. The Awardee must provide to INL an inventory of all the U.S. government provided equipment purchased with grant funds using the SF428 form on an annual basis.

**[END OF SECTION VI]**

## **SECTION VII – AGENCY CONTACTS**

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

Any questions or comments concerning this NOFO must be submitted in writing by email to Cheryl Price [PriceCH@state.gov](mailto:PriceCH@state.gov) Grants Officer by the deadline for questions indicated at the top of this NOFO's cover letter.

**[END OF SECTION VII]**