

U.S. Department of State
Bureau of Near Eastern Affairs
Office of Assistance Coordination
Catalog of Federal Domestic Assistance (CFDA) Number: 19.600
Promoting Accountability in Iraq and Syria
For Genocide, Crimes Against Humanity, and War Crimes

Opportunity Number: *SFOP0007096*

Key Information:

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Federal Agency Contact:	NEA-Grants@state.gov

Funding Opportunity Synopsis

This Notice of Funding Opportunity is released by the Department of State's Office of Global Criminal Justice (J/GCJ) in cooperation with the Bureau of Near Eastern Affairs, Office of Assistance Coordination (NEA/AC). J/GCJ promotes criminal accountability for abuses and violations in Iraq and Syria, including war crimes, crimes against humanity, and genocide. The investigation and prosecution of atrocity crimes is a crucial part of holistic transitional justice strategies in which countries must address legacies of pervasive abuses. Criminal trials – whether they occur in the context of an international or regional tribunal, or domestic systems that have jurisdiction – can build adherence to the rule of law, reinforce the unacceptability of the crimes committed, demonstrate that impunity will not be tolerated, and deter future harm by punishing perpetrators. They can also help transitional societies come to terms with their own histories and rebuild stable, democratic institutions. Evidence gathered and presented in court can help to establish a historical record of atrocities, give victims an opportunity to be heard, and rebut denials by victimizers and their political allies that such atrocities ever occurred. Finally, criminal trials can also help to restore the dignity of victims and their families by providing a public acknowledgment of the gravity of the wrongs done to them.

Over 500,000 people have been killed since the start of the conflict in Syria. While the Assad regime is responsible for the vast majority of death and destruction and has committed acts that rise to the level of crimes against humanity and war crimes, numerous other parties to the conflict have also committed violations and abuses such as murder, torture, and sexual and gender based violence (SGBV).

In Iraq, two Secretaries of State have announced ISIS was responsible for genocide against Yazidis, Christians, and Shia Muslims in areas it controlled and crimes against humanity and ethnic cleansing against those groups and in some cases against Sunni Muslims, Kurds, and other minorities. Atrocities have included rape, torture, massacres, forcible displacement of land, destruction of religious and historic sites, and looting of antiquities for terrorist financing.

The Department of State will consider funding programs that include components to develop local investigative and judicial skills; to collect and preserve evidence and maintain the chain of custody of evidence; provide information to national authorities with jurisdiction over crimes, and to conduct other activities that directly support investigations and prosecutions of perpetrators of atrocities in Iraq and Syria. Applicants should be able to demonstrate an awareness of existing work in the field and a keen awareness of the security situation in the relevant country.

All applications must be submitted in English. Complete information on how applicants can submit proposals for this opportunity can be found in Section VI below.

Applicants should read this NOFO in its entirety before writing their proposal, and should refer to the full Evaluation Criteria provided in Section VII while drafting all materials.

Eligible Countries and Territories

In this announcement, we seek to support projects that advance criminal accountability for atrocities committed in Iraq and Syria. Applications may focus on atrocities committed in either country and applicants must demonstrate expertise and local partners in geographic regions proposed. It is not required that program activities take place within either country. This is in recognition that evidence, witnesses, victims, and potential courts with jurisdiction over crimes exist beyond Iraq or Syria. Please note: Applications that focus on atrocities in countries and territories other than those listed will NOT be considered.

Background Information about J/GCJ:

The Office of Global Criminal Justice advises senior Department officials on issues related to war crimes, crimes against humanity, and genocide. In particular, the Office helps formulate U.S. policy on the prevention of, responses to, and accountability for mass atrocities. To this end, the Office advises U.S. Government and foreign governments on the appropriate use of a wide range of transitional justice mechanisms, including truth and reconciliation commissions, lustrations, and reparations, in addition to judicial processes.

The Office also coordinates U.S. Government positions relating to the international and hybrid courts currently prosecuting persons responsible for genocide, war crimes, and crimes against humanity – not only for such crimes committed in the former Yugoslavia, Rwanda, Sierra Leone, and Cambodia – but also in Kenya, Libya, Côte d'Ivoire, Guatemala, and elsewhere in the world. The Office works closely with other governments, international institutions, and nongovernmental organizations to establish and assist international and domestic commissions of inquiry, fact-finding missions, and tribunals to investigate, document, and prosecute atrocities in every region of the globe. It coordinates the deployment of a range of diplomatic, legal, economic, military, and intelligence tools to help expose the truth, judge those responsible, protect and assist victims, enable reconciliation, deter atrocities, and build the rule of law.

Background Information about NEA/AC

The U.S. Department of State's Bureau of Near Eastern Affairs, Office of Assistance Coordination (NEA/AC) supports groups and individuals striving to bring about positive change in the Middle East-North Africa region. The Assistance Coordination Office works in 20 countries and territories, partnering with governments, civil society organizations (CSOs), community leaders, youth and women activists and private sector groups to advance their efforts. Competitively selected projects aim to foster participatory governance, economic reform, and educational advancement in response to local interest and needs.

Table of Contents

I.	FUNDING OPPORTUNITY DESCRIPTION.....	6
A.	PROBLEM STATEMENT	6
B.	ACHIEVABLE OBJECTIVES.....	6
C.	PROJECT DESIGN.....	7
D.	GENDER INTEGRATION	8
E.	DEFINITIONS	9
II.	MEASUREMENT OF RESULTS.....	9
III.	AWARD INFORMATION.....	9
IV.	SUBSTANTIAL INVOLVEMENT.....	10
V.	ELIGIBILITY INFORMATION.....	10
A.	ELIGIBLE APPLICANTS	11
B.	REGISTRATION REQUIREMENTS	12
C.	ADDITIONAL ELIGIBILITY CONSIDERATIONS	13
VI.	APPLICATION AND SUBMISSION INFORMATION	13
A.	APPLICATION DOCUMENTS	13
B.	APPLICATION FORMATTING REQUIREMENTS	16
C.	SUBMITTING AN APPLICATION	16
D.	SUBMISSION DATES AND TIMES	17
VII.	FUNDING LIMITATIONS, RESTRICTIONS, AND OTHER CONSIDERATIONS.....	17
A.	AWARDS TO COMMERCIAL FIRMS OR FOR-PROFIT ORGANIZATIONS.....	17
B.	AUDIT REQUIREMENTS	18
C.	COMPLIANCE WITH APPLICABLE FEDERAL FUNDING REGULATIONS AND DOS TERMS AND CONDITIONS	18
VIII.	APPLICATION REVIEW AND SELECTION PROCESS	18
A.	APPLICATION EVALUATION CRITERIA	18
B.	REVIEW AND SELECTION PROCESS	21
IX.	ADMINISTRATION INFORMATION.....	21
A.	AWARD NOTICES	21
B.	REPORTING REQUIREMENTS	22
C.	TRAVEL NOTIFICATIONS	22
D.	APPLICANT VETTING AS A CONDITION OF AWARD	22
E.	SPECIAL PROVISION FOR PERFORMANCE IN A DESIGNATED COMBAT AREA (SPOT) REQUIREMENTS	23
F.	BRANDING AND MARKING REQUIREMENTS FOR GRANTEES	24
G.	UEI NUMBER REQUIREMENT FOR SUB AWARDEES	24
H.	SUB AWARDEE REPORTING REQUIREMENT	24
X.	AGENCY CONTACTS.....	24
XI.	DISCLAIMER	25

APPENDICES *(Posted with NOFO)***APPENDIX 1— Budget Sample Template and Budget Narrative Guidance****APPENDIX 2— Logic Model Template****APPENDIX 3— Application Guidance**

I. FUNDING OPPORTUNITY DESCRIPTION

The Department of State invites applicants to submit proposals for programs that include components to develop local investigative and judicial skills; to collect and preserve evidence and maintain the chain of custody of evidence; and to conduct other activities that directly support investigations and prosecutions of those responsible for atrocities in available jurisdictions, such as building cases, filing criminal complaints, and sharing information with national authorities.

Applicants must incorporate plans on how their proposals will support and be de-conflicted with ongoing transitional justice work being undertaken by other U.S. government entities and international donors, as well the United Nations, other international organizations, and non-governmental organizations. Each applicant must present a plan on how it will be flexible and responsive to time-sensitive requirements; monitor and evaluate activities; and coordinate activities with the Department of State and other relevant U.S. government entities and international donors. Applicants should consider the context of Iraq and Syria's dynamic and challenging operating environments in their proposals, especially in terms of program implementation and monitoring. Applicants must demonstrate a clear understanding of international criminal law, operational investigative and prosecutorial work, and jurisdictions available to seek criminal accountability for atrocities in Iraq and Syria. Awards will be issued with the expectation of substantial involvement from the Department of State in the grantee's implementation of this program.

Note: Applicants should read this NOFO in its entirety before writing their proposal, and should **refer to the full Evaluation Criteria provided in Section VIII** while drafting all materials.

A. PROBLEM STATEMENT

Despite the horrific atrocities in Iraq and Syria, there have been only a limited number of prosecutions of individuals for perpetrating crimes committed against victims, either "common" crimes such as kidnapping, rape, or murder, or international crimes (war crimes, crimes against humanity, and genocide).

These atrocities have been extensively documented by UN mechanisms, local and international NGOs, and governments. This documentation is of critical importance to lay the groundwork for holding perpetrators criminally accountable, as well as to support a range of other transitional justice measures. Documentation efforts are ongoing and currently being funded. The current programmatic priority is to translate this work into tangible progress on related investigations and prosecutions of perpetrators.

B. ACHIEVABLE OBJECTIVES

A successful project will result in the advancement of investigations and prosecutions of perpetrators of atrocities in Iraq or Syria. Programming may include, but is not limited to, one or more of the following areas:

1. Collect, preserve, and/or analyze evidence of atrocities in Iraq or Syria, maintaining legal chain of custody of evidence and sharing with appropriate national authorities and multilateral accountability mechanisms. Programs should consider inclusion of civil society, including medical and legal professionals, where appropriate.
2. Build case files to share with national authorities and multilateral accountability mechanisms in support of investigations and prosecutions of crimes and alleged perpetrators of atrocities, including present location.
3. Filing criminal complaints in courts that may have jurisdiction over atrocities.
4. Support the mandate of the International, Impartial and Independent Mechanism to assist in the Investigation and Prosecution of Persons Responsible for the Most Serious Crimes under International Law Committed in the Syrian Arab Republic since March 2011 (IIIM) and/or the UN Investigative Team for Accountability of Da'esh (UNITAD), while not duplicating the work of either of those teams.
5. Develop new technologies to improve searching, processing, and analyzing massive holdings of documents, many or most of which may be in Arabic, Kurdish, and other languages.
6. Provide targeted training to law enforcement and/or prosecutorial officials on forensics, crime scene analysis, trial preparation, interviewing of witnesses including of crimes related to sexual violence.

Proposals are encouraged to identify ways in which any of the above programming areas will also support other current or future transitional justice measures, such as vetting, reparations programs, and truth commission.

C. PROJECT DESIGN

This solicitation invites applications in support of justice and accountability for atrocities perpetrated in Iraq or Syria, including war crimes, crimes against humanity, and genocide. These efforts should build upon USG and other international donor programs since 2011. Funds will support activities that advance investigations and prosecutions in available jurisdictions. Proposals can focus on advancing accountability for atrocities committed either in Iraq or Syria, but not both. It is **not** required that program activities take place within either country. This is in recognition that evidence, witnesses, victims, and potential courts with jurisdiction over crimes exist beyond Iraq or Syria. If projects do incorporate such work within Iraq or Syria, applicants must explain how it will be accomplished in insecure or otherwise unsafe environments. **Each proposal will be reviewed based on its potential for impact.**

Projects must include:

- a. A primary focus on advancing justice and accountability through support to criminal investigations and prosecutions for atrocities committed in Iraq or Syria;
- b. A commitment to share information generated over the course of the project with the State Department, while appropriately respecting confidentiality.
- c. A willingness to respond to requests for information from the IIIM and/or UNITAD, other international accountability mechanisms, and/or national authorities engaged in such efforts;

- d. Where programs propose gathering information from victims and witnesses, they must include clear processes for informed consent, confidentiality, service referral, and preventing re-traumatization; and
- e. A rigorous results monitoring plan with demonstrated feedback loops to show tangible outcomes of the project.

The Department of State will implement selected projects in collaboration with other governments supporting justice and accountability for atrocities in Iraq and Syria. Project implementers funded under this solicitation will be required to collaborate and coordinate with other entities working to support criminal accountability, as well as other related transitional justice processes.

The Department of State will require reporting on the first and 15th of the month regarding program activities, and standard quarterly reporting in addition to ad hoc reporting requests.

The following activities and costs are **not allowed** under this announcement:

- Buying evidence, including paying inducements to conduct interviews;
- Activities that engage with “justice systems” of the Assad regime, ISIS, Al-Qaeda, or other terrorist groups.
- Social welfare projects;
- Paying to complete activities begun with other funds;
- Activities that appear partisan or that support individual or party electoral campaigns;
- Academic or analytical research (if not necessary as part of a larger project);
- One-time events, such as stand-alone conferences and one-off round tables;
- Medical and psychological research and clinical studies;
- Projects of a commercial or profit-making nature;
- Cultural presentations, cultural research, cultural clubs, or festivals, etc.; and
- Entertainment costs (e.g., receptions, social activities, ceremonies, alcoholic beverages, guided tours).

NOTE: Applications that include any of these activities or costs above may be eliminated at the Technical Eligibility Review stage and will not advance to the Merit Review Panel.

D. GENDER INTEGRATION

NEA/AC requires that all activities fully address gender considerations, ensuring that both men and women benefit from support where applicable, and that gender awareness is a built-in component of project activities. This should be documented through gender analysis in the project narrative that identifies any relevant gender gaps and ways the proposed activities will address those gaps. Proposals should demonstrate how addressing relevant gender gaps will enhance the project’s goals and objectives. Applicants who are unfamiliar with integrating gender in foreign assistance programming should view the training video located here: https://encompassworld.com/elearningfiles/DOS/DOS_Gender_Integration_E-Course/story_html5.html

E. DEFINITIONS

N/A

II. MEASUREMENT OF RESULTS

Applicants shall provide a logic model or a theory of change to demonstrate how the proposed project (including activities, the project design, and the surrounding context) will achieve the stated objectives. The logic model or theory of change statements can be generated using the template in Appendix II. Please see Section VI below for more information.

Successful applicants will work with the NEA/AC program and monitoring and evaluation (M&E) teams to create a plan based on the proposed logic model/theory of change to measure qualitative and quantitative indicators as part of the award negotiations process. The successful applicants will be responsible for collecting data against these indicators, which will be monitored throughout the period of performance of the award to gauge necessary modifications to the project's design, and assess the results of the project's success in meeting expected outcomes.

III. AWARD INFORMATION

Funding Mechanism Type:	Cooperative Agreement
Estimated Number of Awards:	3-4
Estimated Total Program Funding:	\$4,500,000
Estimated Award Ceiling:	\$2,225,000
Estimated Award Floor:	\$500,000
Cost-Sharing or Matching:	Encouraged; NOT Required
Estimated Length of Project Period:	Up to 24 Months

Contingent on the availability of funds, approximately \$4,500,000 in International Narcotics Control and Law Enforcement – Overseas Contingency Operations (INCLE-OCO) funding for approximately 3-4 awards will be awarded through this announcement. If selected to receive an award, an applicant will be awarded funds for up to **24 Months**, depending on the activities and countries proposed. The estimated start date for this project is October 1, 2020.

The Department of State reserves the right to award more or less than the estimated program funding, and reserves the right to award funding under this announcement for a period of up to two years after the announcement's close date.

This request for full applications **does not** constitute an award or commitment on the part of the U.S. government to make any awards, **nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of an application.**

Non-Competing Continuation

Continuation grants funded under these awards, beyond the initial budget period, will be contingent upon the availability of funds; grantee's progress in meeting grant requirements, including timely submission of required reports and compliance with all terms and conditions of the award; timely submission of a request for additional funding; and a determination that continued funding would be in the best interest of the Department of State.

Pending successful implementation of this project for the initial estimated length of time as indicated above, and pending the availability of funds in subsequent fiscal years, NEA/AC may extend this grant for additional time, not to exceed a four year total project period. Please note that this NOFO requires that applicants submit additional budget materials to plan for potential out-years of non-competing continuations. See Section VI Application and Submission Information for more details.

IV. SUBSTANTIAL INVOLVEMENT

The Department of State shall be involved in the program and management performance of these cooperative agreements through consultation and technical collaboration on specified program activities.

Department of State Responsibilities

- Collaboration in establishing and approving a project work plan
- Providing policy and technical consultation on program activities
- Government-provided key resources or logistical support for the project
- Vetting of grantees and sub-grantees

V. ELIGIBILITY INFORMATION

All applicants will be screened by NEA/AC to determine whether they meet all of the program eligibility requirements detailed below.

NOTE: Applications that do not demonstrate that they meet all of the eligibility requirements in Section A and Section B will not advance past the Technical Eligibility Review stage and may be deemed ineligible for funding under this announcement. Nothing can be added to an application once the competition deadline has passed.

A. ELIGIBLE APPLICANTS

Eligible applicants include:

- U.S. or foreign
 - o non-profit organizations;
 - o For-profit organizations;
 - o Private institutions of higher education;
 - o Public or state institutions of higher education;
 - o Public international organizations;

Applicants should have functional experience in the areas of investigating and prosecuting conflict related atrocities in Iraq and/ or Syria.

The Department of State is committed to an anti-discrimination policy in all of its programs and activities. The Department of State welcomes applications irrespective of an applicants' race, ethnicity, color, creed, national origin, gender, sexual orientation, or disability. We encourage applications from organizations working with underserved communities, including women, people with disabilities, and youth.

A.1. Prime Applicant

Applicants must have the organizational capacity to implement program components in Iraq or Syria, if any are proposed. Applicants must also have experience in conducting risk assessments and monitoring and evaluating programs and sub-recipients in order to document and assess the short- and long-term outcomes of proposed projects. Extensive partnerships with international accountability mechanisms, national law enforcement agencies, documentation organizations, and/or international or Syrian professional legal associations, are useful to ensure that all program activities can be implemented quickly. Additionally, applicants must:

- Meet ALL of the registration requirements listed in *Section B* below.
- Meet any requirements listed as MANDATORY in *Section C, Additional Eligibility Considerations*, below.

A.2. Local Partners

Applicants are REQUIRED to include partnerships with Iraqi and Syrian individuals and/or organizations as part of their project design for this NOFO, though they need not be physically based in-country. **Applicants who do not incorporate “local” partners in their proposal will be deemed ineligible and will not advance past the Technical Eligibility Review stage.**

Applicants should propose partners that would work together on specific programmatic objectives or priorities and that utilize local expertise, even if follow-on activities may be implemented outside Iraq or Syria. Partnerships may, but are not required to, take the form of sub-awards.

B. REGISTRATION REQUIREMENTS

To apply for NEA/AC (Federal) funding, organizations, whether based in or outside the U.S., must have a Unique Entity Identifier (UEI) number, currently referred to as a DUNS number, and an active account with the System for Award Management (SAM). Applicants who do not meet all registration requirements are NOT eligible for funding under the opportunity.

UEI Number

The UEI number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities.

All applicants must have a UEI number. To obtain a UEI number, please follow the steps below:

Go to <http://fedgov.dnb.com/webform/pages/CCRSearch.jsp>.

Select the country or territory where your organization is physically located. Complete and submit the form. Organizations will need to provide basic information, including physical and mailing addresses, name and title of the chief executive, primary Standard Industrial Code (SIC) (https://www.osha.gov/pls/imis/sic_manual.html), and annual revenue.

For technical difficulties in obtaining this number, please contact D&B at: govt@dnb.com.

System for Award Management (SAM)

SAM is a U.S. government wide registry of vendors doing business with the Federal government and requires annual renewal. The system centralizes information about grant applicants/recipients, and provides a central location for grant applicants/recipients to change organizational information.

Further, each applicant must maintain an active account, with current information, while its application is under consideration for funding. To keep an active SAM.gov account, an applicant must renew it at least once each year. **If an organization's account expires, the organization cannot submit a grant application until it is renewed.**

To create a new account, please follow the steps below:

Go to <http://www.sam.gov>.

Log In to complete authentication and create an account. On the My SAM page, select *Entity Registrations* from the sub-navigation menu and select *Register New Entity*.

Organizations must have a UEI number and a CAGE number (US Domestic Organizations) or a NCAGE number (Foreign Organizations), to create an account.

Complete and submit the online form. If the applying organization already has the necessary information on hand (see the SAM Quick Start Guide for Grant Registration:

https://sam.gov/SAM/transcript/Quick_Guide_for_Grants_Registrations.pdf), the online form takes approximately one hour to complete, depending upon the size and complexity of the applying entity. Because of the different steps in the process, it might take anywhere from **12 - 15 business days** to complete the process of creating an account with the system.

For help with SAM.gov, please visit their support page at <https://www.fsd.gov> or contact them at: 866-606-8220 (U.S.) or +1-334-206-7828 (international).

C. ADDITIONAL ELIGIBILITY CONSIDERATIONS

Cost-Sharing or Matching

There is no minimum or maximum percentage required for this competition. However, NEA/AC encourages applicants to provide maximum levels of cost sharing and funding in support of its programs.

Cost-sharing or matching is NOT an evaluation criteria of this NOFO.

VI. APPLICATION AND SUBMISSION INFORMATION

A. APPLICATION DOCUMENTS

All applications must include the application components detailed below. **All application documents must be submitted in English.** Applicants may submit only 1 application per applicant Please refer to Section B below for additional submissions guidance and requirements.

NOTE: Applications that do not include all the required documentation described in Section 1 below will not advance past the Technical Eligibility Review stage. Further, applications that exceed the allowable page limits will not be reviewed by the review panel. **Applicants may not add any materials to an application once it has been submitted and the competition deadline has passed.**

A.1. Required Documents

Federal Assistance Application Forms (SF-424, SF424a, and SF-424b)

Applicants must complete each of these forms online to be considered for funding. The SF-424B is only required for those applicants who a) have not registered in SAM.gov or b) have not recertified their registration in SAM.gov since February 2, 2019.

If an organization has an active registration in SAM.gov that was either created or updated **on or after** February 2, 2019, then the applicant does **NOT** need to submit the SF-424B because their registration or recertification will have included the necessary information.

Guidance on how to complete the SF-424 and SF424a is provided in Appendix 3. NOTE: In addition to following all guidance outlined below regarding application materials, applicants are strongly encouraged to review the Application Evaluation Criteria section of

this NOFO closely as they prepare their proposal. The Evaluation Criteria section is the rubric by which each application will be scored.

Project Narrative

The Project Narrative describes the efforts the applicant will undertake to address the priorities and goals of this announcement. It may **be no longer than 10 pages**. More details on preparing the Project Narrative are provided in Appendix 3. **Applicants are strongly encouraged to review Appendix 3 before preparing their Narrative.**

Budget & Budget Narrative Submission

Applicants must provide the following three elements as part of their budget submission:

- Summary Budget
- Detailed Line Item Budget
- Budget Narrative

There is no page limit for this section of an application. A sample fillable template can be found in Appendix 1. This template includes three tabs: The first tab includes written guidance on preparing the **Budget Narrative**. Applicants are strongly encouraged to create their Budget Narrative in Word and submit as either a Word Doc or PDF file. Please note that the Budget Narrative should include designations of who is considered Key Personnel for this project. As defined in the Department of State Standard Terms and Conditions (for assistance awards, Key Personnel means, "...key professional and supervisory personnel; i.e., the members of the professional staff in a program supervisory position engaged for or assigned to duties under the award." The second tab has the template for the **Summary Budget**. This tab will auto-fill as you complete the Detailed Line Item Budget, which can be found on the third tab. The third tab is where you can fill in the template for the **Detailed Line Item Budget** as stated above. **NOTE: Applicants are strongly encouraged to use the same format as provided in the template, and to submit summary and detailed line item budgets in Excel form, and the Budget Narrative as either a PDF or Word file.** If the applicant does not use the template, the applicant must ensure that their submission includes all elements outlined in the sample. The template, which includes more detailed instructions, can be found in Appendix 1. **Applicants are strongly encouraged to review Appendix 1 before preparing their Budget and Budget Narrative.**

Logic Model

Applicants shall provide a logic model or theory of change to demonstrate how the proposed project (including activities, the project design, and the surrounding context) will achieve the stated objectives. The logic model or theory of change statements can be generated using the template in **Appendix 2. NOTE: Applicants are strongly encouraged to use the same format as found in the sample.** If the applicant does not use the template, the applicant must ensure that their submission includes all elements outlined in the sample. This section **may be no longer than 3 pages**.

Project Timeline

Applicants must provide an overall breakdown of the order and timeframe in which all project activities will take place. This item should provide a macro snapshot of what will take place from beginning to end of the project. Applicants must ensure that the timeline of activities/events corresponds with details provided in the Project Narrative and Logic Model / Theory of Change. This section **may not exceed 2 pages**.

Security, Risk Mitigation, & Contingency Planning Summary

This item should provide detail regarding the applicant's intended due diligence to assess and mitigate risks, and put in place adequate security measures to ensure the safety and well-being of project staff, participants, and partners, if applicable. This should include specific actions by the applicant to ensure risks are adequately and routinely assessed, and that security measures are commensurate with operational concerns specific to the locale. The applicant should also include a contingency plan that highlights potential challenges and limitations to project implementation in the operating environment and propose contingency plans should program activities be impacted. Please note that this section should not be limited to physical security and risk but should cover any applicable factors relevant to the given operating environment. This section **may not exceed 5 pages**.

Negotiated Indirect Cost Rate Agreement

Applicants proposing indirect costs in the Budget greater than a 10% de minimis rate must provide a copy of their Negotiated Indirect Cost Rate Agreement (NICRA). This item will not be counted toward any page limits.

A.2. Optional Documents

Applicants may submit additional documents for consideration with their application. These documents are not required and there is a 10 page limit for this section of the application. Below are examples of some additional documents an applicant may wish to submit.

1. **Letters of Agreement or Letters of Intent:** Applicants proposing partner organizations and/or government bodies should include Letters of Intent or Letters of Agreement from their proposed partners.
2. **Organizational Chart:** The organizational chart outlines the clear lines of responsibility and authority in the applicant organization to include budgeted level of effort listed by each person.
3. **Job Descriptions / Biographical Info for Key Personnel Positions**
 - a. For each position designated as key personnel for this project, applicants may provide the following:
 - i. If the position is already filled: Provide brief biographical information summarizing the person's qualifications, as well as a brief description of the roles or responsibilities pertaining to this project.

OR

- ii. If the person to fill a key position has not yet been hired: Provide a brief summary of the job description, which should include a description of the roles and responsibilities pertaining to this project, as well as a description of qualifications of eligible candidates.

NOTE: If an applicant is proposing sub grant partner(s) as part of their project design, **Key Personnel/Positions of the sub grantee must also be included.**

This section of the application **may not exceed 5 pages.**

- 4. **Sustainability Plan:** The sustainability plan outlines how the proposed project will be sustained beyond the initial award period. More information on preparing the Sustainability Plan is provided in **Appendix 3**. Sustainability Plans may not exceed 2 pages.

NOTE: Applicants must adhere to all maximum allowed page counts. Applications that exceed any of the allowable page limits will not advance past the Technical Eligibility Review stage.

B. APPLICATION FORMATTING REQUIREMENTS

The required font is 12-point, Times New Roman. All application documents must be single spaced, with all margins (left, right, top, and bottom) of at least one inch each. Also, applicants should ensure all pages in the application package are numbered consecutively and meet the page limit requirements outlined in Section VI above. **The Standard Forms 424 (SF-424, SF-424a, and SF-424b) are excluded from the page numbering.**

It is strongly recommended that applicants submit grant applications using Microsoft Office. If applicants do not have access to Microsoft Office products, Adobe PDF files may be submitted.

C. SUBMITTING AN APPLICATION

Applicants must submit their application electronically using SAMS Domestic. Applications will **NOT** be accepted from grants.gov. SAMS Domestic requires that the applying organization have an account with the system and both require a UEI number and SAM.gov account as detailed in Section V. **It is the responsibility of the applicant to ensure they have an active account and will be able to submit its application.** NEA/AC is not in a position to grant exceptions to these requirements.

The application process is not complete until the applicant receives notification that its application has been validated and forwarded to the granting agency (NEA/AC). Please allow sufficient time for entering the application into these systems. It is the responsibility of the applicant to monitor its application to ensure that it is successfully received and validated.

SAMS Domestic

SAMS Domestic is a comprehensive grants management system that allows applicants to apply for, manage, and report on the use of U.S. government funds for multiple programs, accessed online at mygrants.service-now.com.

To create an account, go to <http://mygrants.service-now.com>, and click the “create an account” hyperlink, located above the user name prompt. Users will be directed to a page entitled “User Registration Request;” complete the online form and click the “Submit” button. Users will receive an activation email entitled “Verify Your Grants Account Registration;” click the activation link within the email to receive a username and password.

SAMS Domestic has Quick Tours available to educate users about the system. These documents can be found on the Support tab upon logging into the system.

D. SUBMISSION DATES AND TIMES

Applications must be time stamped before 17:00:00 eastern time (ET) on July 27, 2020. There is no grace period. Any application not received by the application deadline will be deemed ineligible and will not advance to be reviewed. **Each applicant is encouraged to submit an application far enough in advance of the deadline so that the applicant can alert NEA/AC (nea-grants@state.gov) of any technical difficulties and allow sufficient time to resolve difficulties before the deadline.** Although NEA/AC will work with applicants to resolve technical issues, it is not in a position to grant exceptions to the submission requirements outlined in this announcement.

VII. FUNDING LIMITATIONS, RESTRICTIONS, AND OTHER CONSIDERATIONS

A. AWARDS TO COMMERCIAL FIRMS OR FOR-PROFIT ORGANIZATIONS

The Department of State prohibits profit under its assistance awards to commercial organizations. No funds will be paid as profit to any recipient that is a commercial organization. Profit is defined as any amount in excess of allowable direct and indirect costs. The allowability of costs incurred by commercial organizations is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 CFR Part 31. Program income earned by the recipient may be:

- added to the total of the amount of this award, including the required cost sharing or matching, and use it to further eligible project objectives;
- used to meet the Recipient’s cost sharing or matching requirement;
- OR deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

B. AUDIT REQUIREMENTS

Domestic and foreign organizations that expend \$750,000 or more in a fiscal year in federal assistance must perform an independent, recipient-contracted Single Audit or Program Specific Audit. (**Program-specific Audit** means an audit of one Federal award program. **Single Audit** means an audit which includes both the entity's financial statements and the Federal Awards to be conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS). The audits must be independently and professionally executed in accordance with GAGAS either prescribed by a government's Supreme Audit Institution with auditing standards approved by the Comptroller General of the United States, or the host country's laws or adopted by the host country's public accountants or associations of public accountants, together with generally accepted international auditing standards. However, foreign entity audits consistent with International Standards for Auditing or other auditing standards are acceptable with the Grants Officer's approval. More information can be found at <https://www.gao.gov/assets/700/693136.pdf>

For sub-non-Federal entities expending \$750,000 or more in Department of State award funding during their fiscal year, Department of State standard audit provisions require that Prime non-Federal entities certify that audits of sub-non-Federal entities are performed annually and according to the standards described above. The cost of audits required under this policy may be charged either as an allowable direct cost to the award OR included in the organizations established indirect costs in the award's detailed budget.

C. COMPLIANCE WITH APPLICABLE FEDERAL FUNDING REGULATIONS AND DOS TERMS AND CONDITIONS

Payment of funds awarded under this Notice of Funding Opportunity will not be disbursed until the DOS has been assured that the Recipient's financial management system will provide effective control over and accountability for all Federal funds in accordance with 2 CFR 200 and 2 CFR 600 as applicable. Awards issued under this NOFO are subject to the Department of State Standard Terms and Conditions (<https://www.state.gov/wp-content/uploads/2019/10/U.S.-Department-of-State-Standard-Terms-and-Conditions-10-01-2019508.pdf>) and 2 CFR 200 and 2 CFR 600 as applicable.

VIII. APPLICATION REVIEW AND SELECTION PROCESS

A. APPLICATION EVALUATION CRITERIA

Achievable Objectives (30 points)

One or more of the project objectives listed above (in Section I) are clearly addressed.

- Impact and Effectiveness: The applicant describes the project's potential contribution to solving the problem addressed in the problem statement and achieving results.
- Timeframe: The applicant describes realistic results to be accomplished within the timeframe of the proposed award.

- Milestones: The applicant provides realistic milestones to indicate progress toward goals and objectives as described in the program announcement.
- M&E: The applicant explains how monitoring and evaluation activities will be carried out throughout the award's period of performance and who will be responsible for them.

Project Design (40 points)

The applicant clearly describes how each proposed project activity will address one or more of the objectives outlined in the requested priority area above (Section I).

- Responsiveness to NOFO: Explain how the proposed activities respond to the objectives listed in the NOFO.
- Rationale: To justify how the proposed activities will achieve the above objectives in this context.
- Project Management: Clear description of how the project will be managed in terms of initiation, planning, implementation and closing.
- Partnerships and Buy-ins: The applicant addresses how the project will engage or obtain support from relevant stakeholders and identifies local partners.
- Feasibility: The applicant proposes activities that are feasible, and are also practical, and/or experiential in nature to encourage innovation.
- Duplication: The applicant acknowledges if activities similar to those proposed are already taking or have taken place previously, and provides an explanation as to how proposed new activities will not duplicate or merely add to existing/recent activities.
- Contingency Plan: The applicant articulates programming assumptions and potential challenges to project implementation and proposes contingency plans.
- Division of Labor: The application describes the division of labor among the applicant and any partners.
- Program Logic: Is it theoretically sound? Do all elements of the logic model fit together showing plausible pathways to achieving project outcomes? Have all the key assumptions been identified and their potential influences described? Are the risks to implementation (external factors) fully accounted for and described?

Organizational Capacity (20 points)

- The applicant demonstrates experience (e.g., has previously worked and/or has established contacts/partners) in the proposed country/territory/region.
- The applicant demonstrates an institutional record of successful programs in the content area proposed.
- The applicant demonstrates capacity for responsible fiscal management of donor funding (e.g., successful management of a previous sub-award or grant).
- The applicant demonstrates the ability to meet monitoring and evaluation requirements.
- The applicant has adequate staffing and demonstrates the capacity to manage the proposed project.
- The applicant demonstrates expertise in J/GCJ's strategic focus areas of advancing justice and accountability for atrocities.

- The applicant demonstrates experience gathering, storing, and analyzing information with attention to chain of custody.
- The applicant demonstrates experience building criminal cases, representing victims, advancing cases in national jurisdictions, and working with national authorities and international accountability mechanisms.
- The applicant demonstrates experience working with victims and witnesses of atrocities, and their families, to prevent revictimization, including specific training about issues related to sexual and gender based violence.
- The applicant demonstrates experience implementing similar projects in Iraq and Syria, or other conflict/post-conflict areas.
- The applicant demonstrates experience managing and monitoring a significant number of sub-recipients and/or direct assistance projects. Applications must clearly outline this experience, including total volume (total dollar amount, number of partners, and number of projects), size and length of sub-awards managed, and geographic and thematic focus. If the applicant has provided capacity-building support to sub-grantees, please indicate the type of support.
- The applicant demonstrates in the program and budget narratives how the assistance mechanism will be managed, monitored and evaluated to ensure compliance with the project objectives and Federal regulations. (The successful applicant will be responsible for overseeing the implementation of all sub-recipients, and/or other direct assistance to ensure completion of activities, programmatic efficacy, institutional strengthening, and financial propriety.)
- The applicant demonstrates the ability to accomplish the required activities with minimal full-time staffing and without establishing a dedicated local office in Syria.
- The applicant demonstrates the ability to involve local partners.

Staff and Position Specifications (10 points)

- Pre-identified key staff members, including volunteers, demonstrate experience working in Iraq and Syria and with participants from that area (e.g., language skills, cultural understanding).
- A description of the roles of each person or position on the project, whether staff, partner, consultant, or volunteer demonstrates that the project will be adequately but efficiently staffed, avoiding redundancy or duplication of effort.
- Pre-identified key staff members, including volunteers, demonstrate experience and knowledge in the proposed content area.

Budget & Budget Narrative (Acceptable or Not Acceptable)

- The costs proposed are reasonable in relation to the proposed activities and anticipated results, which are clearly explained in the budget narrative.
- The budget provides details of calculations, including estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated.
- The preponderance of the budget is spent on supporting project activities to advance

investigations and prosecutions in Iraq and Syria (which as noted in earlier sections may not actually occur within the territory of Iraq and/or Syria).

- Adequate travel costs are proposed.
- The budget accounts for monitoring and evaluation costs.

B. REVIEW AND SELECTION PROCESS

NEA/AC is committed to ensuring a competitive and standardized process for awarding funding. Applications will be screened initially in a Technical Eligibility Review stage to determine whether applicants meet the eligibility requirements outlined in Section V and have submitted all required documents outlined in Section VI. Applications that do not meet these requirements will not advance beyond the Technical Eligibility Review stage and will be deemed ineligible for funding under this NOFO.

NEA/AC reserves the right to have all applications deemed to be technically eligible undergo a Subject Matter Expert (SME) review prior to the Merit Review Panel. Applications that do not pass SME review will not proceed to the Merit Review Panel.

All applications that proceed to the Merit Review Panel will be evaluated by U.S. government and non-governmental subject matter and/or country-specific experts and will be rated on a 100-point scale. Point values for individual elements of the application are presented in Section VIII. Panel Reviewers' ratings, and any resulting recommendations, are advisory.

Final award decisions will be influenced by whether the application meets NEA/AC's programmatic goals and objectives, how it supports the Department's overarching foreign policy priorities, and the geographic distribution of the top-ranking applications.

IX. ADMINISTRATION INFORMATION

A. AWARD NOTICES

Applicants who do not advance beyond the Technical Eligibility Review stage will be notified 30 business days after the closing of the announcement. The authorized representative and program point of contact listed on the SF-424 will receive the notification via email. If an applicant does not receive such a notification, their submission was put forward for review.

NEA/AC expects to notify applicants who proceeded past the Technical Eligibility Review stage about the status of their application by September 1, 2020 Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the bureau's Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer and transmitted to the recipient's responsible officer identified in the application. NEA/AC reserves the right to award

funding to applicants under this announcement for a period of up to two years after the announcement's close date.

B. REPORTING REQUIREMENTS

Reporting is critical to effective program management and oversight. Reports are required as a means of evaluating the recipient's progress and utilization of resources. They are divided between a performance progress report and a financial status report.

Recipients will, at a minimum, be required to submit Quarterly Performance Reports (QPR) and a Quarterly Financial Report (QFR). The QPRs will compare actual to planned performance and indicates the progress made in accomplishing each assistance award tasks/goals noted in the grant agreement and will contain analysis and summary of findings, both quantitative and qualitative, for key indicators. The QFRs provide a means of monitoring expenditures and comparing costs incurred with progress.

Recipients must report **immediately** when a program faces unplanned delays in implementation, fails to meet program targets or milestones, or costs increase. Any changes or revisions to the approved budget require prior approval from the NEA/AC Grants Officer.

Recipients are required to report program and beneficiary achievements on a quarterly basis (or provide written confirmation that there is no related news for the given quarter) beginning with second quarter's program report.

C. TRAVEL NOTIFICATIONS

Successful applicants will be required to provide prior notification of all international travel as a requirement of their agreement. This includes travel which is already included in the approved budget and Scope of Work. The purpose of this notification is to enable NEA/AC to inform the relevant U.S. Embassy or post of the recipient's intent to travel. The recipient must notify the Grants Officer at least three (3) business days prior to any travel. The Grants Officer reserves the right to advise against specific travel arrangements for security-related reasons.

D. APPLICANT VETTING AS A CONDITION OF AWARD

Applicants are advised that successful passing of vetting to evaluate the risk that funds may benefit terrorists or their supporters is a condition of award. Applicants may be asked to submit information required by DS Form 4184, Risk Analysis Information about their company and its principal personnel. Vetting information is also required for all sub-award performance on assistance awards identified by the Grants Officer, information may be submitted on the secure web portal at <https://ramportal.state.gov>, via Email to RAM@state.gov, or hardcopy to the Grants Officer. Questions on the form may be emailed to RAM@state.gov. Failure to submit information when requested, or failure to pass vetting, may be grounds for rejecting an application for award.

E. SPECIAL PROVISION FOR PERFORMANCE IN A DESIGNATED COMBAT AREA (SPOT) REQUIREMENTS

Applicants proposing activities in **Iraq** are required to adhere to the following:

All recipient personnel deploying to an area of combat operations, as designated by the Secretary of Defense under federal assistance over \$150,000 or performance over 30 days must register in the Department of Defense maintained Synchronized Pre-deployment and Operational Tracker (SPOT) system. Recipients of federal assistance awards shall register in SPOT before deployment, or if already in the designated operational area, register upon becoming an employee under the assistance award and maintain current data in SPOT. Information on how to register in SPOT is available from your Grants Officer or Grants Officer Representative. Recipients utilizing personnel who are not performing private security functions must account for personnel within the SPOT system anonymously through the use of the aggregate count functionality. This includes U.S. Citizens, Third Country Nationals (TCN), and Locally-hired Iraqi personnel except as noted in the following paragraph.

Recipients utilizing personnel who are performing a private security function; are performing duties as a translator or interpreter; require access to U.S. facilities, services, or support; or desire consideration for refugee or special immigrant status under the Refugee Crisis in Iraq Act of 2007 (subtitle C of title XII of Public Law 110–181 must be entered into SPOT individually with all required personal information. If a locally-hired Iraqi falls into one of these categories, the recipient must enter all of the required identification data into SPOT.

When the Recipient is ready to enter U.S. Citizens, Third Country Nationals (TCN), and/or locally-hired individuals using the Aggregate Count method, the Recipient will notify the Grants Officer who will contact the Department SPOT Program Manager (A/LM/AQM) to obtain the “Aggregate Count” template. The Recipient will complete the “Aggregate Count” template and return to the SPOT Program Manager who will ensure that aggregate counts are loaded into SPOT.

The Recipient’s SPOT Administrator is responsible for updating the aggregate locally hired national count on a quarterly basis by providing updated information via the “Aggregate Count” template to the GO/GOR for each award who will forward to the Department SPOT Program Manager for SPOT entry.

Recipient performance may require the use of armed private security personnel. To the extent that such private security contractors (PSCs) are required, recipients are required to ensure they adhere to Chief of Mission (COM) policies and procedures regarding the operation, oversight, and accountability of PSCs.

Recipient performance may require the use of armed private security personnel. To the extent that such private security contractors (PSCs) are required, recipients are required to ensure they adhere to Chief of Mission (COM) policies and procedures regarding the operation, oversight, and accountability of PSCs.

As specific COM policies and procedures may differ in scope and applicability, recipients of federal assistance awards are advised to review post policies and procedures carefully in this regard and direct any questions to the Embassy Regional Security Office (RSO) via the Grants Officer Representative (GOR). Any exclusion to these policies must be granted by the COM via the RSO. COM policies and procedures may be obtained from the RSO via the GOR. Recipients of federal assistance awards are also advised that these policies and procedures may be amended from time to time at the post in response to changing circumstances.

Recipients of federal assistance awards are advised that adherence to these policies and procedures are considered to be a material requirement of their award. Recipients of federal assistance awards are reminded that only the Grants Officer has the authority to modify the Notice of Award. Recipients shall proceed with any security guidance provided by the RSO, but shall advise the Grants Officer and the GOR of the guidance received and any potential cost or schedule impact.

F. BRANDING AND MARKING REQUIREMENTS FOR GRANTEES

Grantees awarded under this announcement will be required to make all materials produced under the award with the standard U.S. flag in a size and prominence equal to (or greater than) any other logo or identity. Materials are defined as but not limited to: training materials, materials for recipients, or materials to communicate or promote with foreign audiences a program, event, project, or some other activity under this award, including but not limited to invitations to events, press materials, event backdrops, podium signs, etc. In addition, sub-recipients or sub-awardees are subject to the marking requirements and the grantee shall include a provision in the sub-recipient or sub-awardee's agreement indicating that the standard, rectangular U.S. flag is a requirement. Exceptions to this requirement can be discussed with NEA/AC when negotiating an award.

G. UEI NUMBER REQUIREMENT FOR SUB AWARDEES

All sub-awardees are required to have a UEI number. For information on obtaining a UEI number, please see Section V. B. **Proposed sub-awardees are not required to have a UEI number prior to the submission of an application but must have one prior to a sub-award being issued.**

H. SUB AWARDEE REPORTING REQUIREMENT

Grantees awarded under this announcement will be required to report all sub-awardees receiving funds of \$25,000 or more to <http://www.fsrs.gov>. More information about this requirement can be found at this site.

X. AGENCY CONTACTS

For questions regarding this funding opportunity including: completing an application, financial and grants management issues, or technical matters, contact: nea-grants@state.gov

All questions must be submitted in writing to nea-grants@state.gov by **June 29, 2020** at 17:00:00 eastern time (ET). NEA/AC will create a document of the submitted questions along with the answers and post it on SAMS Domestic and Grants.gov. Questions submitted after the deadline will not be addressed.

For questions regarding creating an account or using SAMS Domestic to submit an application, contact the ILMS Help Desk. The Help Desk is available 24 hours a day, 7 days a week, excluding Federal holidays. The ILMS Help Desk utilizes a user-facing ticketing interface that allows users to submit and monitor their SAMS Domestic tickets. The ILMS Self Service Portal can be accessed by going to <https://afsitsm.service-now.com/ilms/home>.

ILMS Help Desk

(888) 313-ILMS (4567)

ILMS Self Service Portal

XI. DISCLAIMER

The terms and conditions published in this NOFO are binding and may not be modified by any Bureau representative. Explanatory information provided by the bureau that contradicts public language will not be binding. Issuance of the NOFO does not constitute an award commitment on the part of the U.S. government. The Bureau reserves the right to reduce, revise, or increase proposal budgets in accordance with the needs of the program and the availability of funds. Awards made will be subject to periodic reporting and evaluation requirements listed in this NOFO.