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

Announcement Type:	Request for Federal Assistance Award Applications
Funding Opportunity Title:	*Chile Investment Screening Mechanism*
Funding Opportunity Number:	INL23GR0059-WHPCHIL-INVSTSCRNG-063023
Program:	INL/WHP
Catalog of Federal Domestic Assistance (CFDA) Number:	19.705 - Transnational Crime
Total Funding Available:	$200,000
Funding Source:	Post-Funds
Application Ceiling:	Up to $200,000 U.S. Dollars
Application Floor:	At least $200,000 U.S. Dollars
Anticipated Number of Awards:	1 award
Initial Project Implementation Length:	12-18 months
Estimated Project Start Date:	October 1, 2023
NOFO Issuance Date:	June 30, 2023
Deadline for Submission of Questions:	July 31, 2023 by 11:59 PM EST via email
Deadline for Submission of Applications:	August 31, 2023 by 11:59 PM EST via www.grants.gov
Assistance Type:	Grant
Applicant Types and Eligibility Categories:	Organizations only. Refer to Section C: Eligibility Information for more information.

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BUREAU MISSION

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

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

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

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A. PROJECT DESCRIPTION

Overview: The Bureau of International Narcotics and Law Enforcement Affairs of the U.S. Department of State announces an open competition for organizations to submit applications to carry out a project to raise awareness about the benefits of investment screening for national security. Most OECD-member countries have a mechanism for reviewing foreign direct investments to safeguard sensitive sectors, critical infrastructure, and national security, while Chile does not. Chile, nevertheless, is a similarly principled partner and regional leader on a variety of multilateral initiatives. The project seeks to engage public and private sector stakeholders to promote investment screening as an essential national security tool.

Priority Region/Countries: Chile

Problem Statement: Chile lacks an investment screening mechanism to review foreign direct investments, particularly investments made by foreign state-owned enterprises (SOEs). SOEs leverage the lack of investment screening and Chile's position as one of South America's most stable economies to expand influence in Chile's critical minerals, energy, telecommunications sectors, and critical infrastructure. Given the interconnected nature of global digital and critical infrastructure, this creates vulnerabilities for security interests in Chile and the region.

Project Vision: This project promotes an end goal of Chile having an investment screening mechanism that is effective and enforced. The investment screening mechanism will better equip Chile to identify and prevent emerging threats and malign influence.

Project Goal(s) and Objectives:

Goal: Public and private sector stakeholders will have increased awareness of the value of using investment screening as a national security tool leading to the development of a roadmap to implement investment screening in Chile.

> Objective 1: Engage target audiences (Chilean government/Congress, business community, academia, security services) on investment screening principles; build active connections and relationships with similar stakeholders in other countries on effective laws/regulations/implementation; build in-depth knowledge of the security implications for countries lacking investment screening.
>
> Objective 2: Develop a diagnostic of risks and vulnerabilities in Chile's current regulatory framework related to Foreign Direct Investment and create a roadmap of measures to address those vulnerabilities.

Project activities and deliverables:

Activity 1:

Diagnostic

Develop a diagnostic to identify the potential national security risks and vulnerabilities resulting from a lack of an investment screening mechanism.

The diagnostic will include analysis of risks to:

- Overall national security
- Critical infrastructure
- Critical natural resources
- Financial sector
- Business sector

Roadmap

- The diagnostic will also develop an initial roadmap that specifies actions to mitigate risks and vulnerabilities identified, drawing from best practices of current investment screening mechanisms.

Activity 2: Engagement with Key Actors

- Upon completion of the diagnostic the applicant will organize a two-day seminar with an open session to present the findings and discuss investment screening examples and approaches from OECD members and a workshop to propose investment screening options for Chile.
- Over the subsequent six months the implementer will organize periodic meetings of workshop participants to further develop a roadmap of concrete investment screening proposals for Chile.
- The applicant will then develop a comprehensive roadmap from working group inputs.
- The applicant will organize a second seminar to present the roadmap to policymakers responsible for developing and implementing an investment screening mechanism and a workshop to refine the proposals.

Activity 3: Comprehensive Roadmap

- Following the second seminar the applicant will produce a comprehensive roadmap to detail steps to create and implement an investment screening mechanism. The applicant will work with local press to ensure media coverage of each seminar, for example organizing an interview with a seminar speaker or working with a speaker to place an op-ed.

Grant funds will be used for the development of the study, the logistics of organizing the seminar (location, printed materials), and can also be used for expert presenters' travel expenses.

Participants and Audiences: The implementer will consult with Embassy Santiago on audience invite lists. The intended audiences would include security services, academia, business community,

and members of congress and government authorities. Applicants should describe how they will promote equitable inclusion, including from communities outside Santiago.

Project Expansion: Applicants are strongly encouraged to demonstrate how their project will leverage funding through other organizations and/or continue working on investment screening via other funding sources after INL funding concludes.

B. FEDERAL AWARD INFORMATION

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

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

   INL may extend the project implementation period, contingent on INL priorities, good performance of the recipient, Department of State management approvals, and funding availability. INL projects shall not exceed five (5) total years of project implementation.

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

   For cooperative agreements, INL may be substantially involved in the following ways:
   - Approval of the recipient's annual work plans, including: planned activities for the following year, travel plans, planned expenditures, event planning, and changes to any activity to be carried out under the grant;
   - Approval of sub-award recipients (if any), and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
   - Approval of Monitoring and Evaluation Plan
   - Other Chile- or project-specific approvals will be included in the award documents.

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

   Length of performance period: 12 to 18 months

   Anticipated program start date: October 1, 2023

Number of awards anticipated: 1 award

Total available funding: $200,000.00

Type of Funding: FY2021 INCLE Southern Cone Cooperation

C. ELIGILIBITY INFORMATION

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

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

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

3. **Other Eligibility Requirements**
   - To be eligible to receive an award, all organizations must have a unique entity identifier (also known as UEI), as well as a valid registration on www.SAM.gov. Individuals are not required to have a unique entity identifier or be registered in SAM.gov. Refer to Section D for additional guidance.
   - Applicants are only allowed to submit one proposal per organization. Organizations may form a consortium and submit a combined proposal, however one organization should be designated as the lead applicant and other organization(s) listed as sub-recipient partner(s).
   - To be eligible to receive a federal assistance award, organizations must have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. INL is committed to an anti-discrimination policy in all of its programs and activities. INL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status.
   - Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to

ensure compliance with these Executive Orders and laws. This provision must be included in any sub-awards issued under this grant award.

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

D. APPLICATION AND SUBMISSION INFORMATION

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

1. **How to Apply and Submit Questions**

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

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

2. **Required Application Documents**

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

   Standard Application Forms

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

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

   ☐ **SF-424B (Assurances for Non-Construction Programs)** – *Optional*
   - The SF-424B is only required for applicants who are not registered in SAM.gov.

   Project Proposal

   The proposal should contain sufficient information that anyone not familiar with the Chilean context or topical focus would understand exactly what the applicant is proposing to do. The

following documents may be submitted separately or combined into one document. If combined, please be sure to adhere to the page limits for each section.

☐ **Proposal Narrative** – *Maximum 18 pages,*
Applicants may use their own proposal template, but it must include all the sections below. Refer to Appendix A for additional guidance on drafting a proposal narrative.

- **Cover Page:** include organization name, project title, number of months in proposed workplan, point(s) of contact, and requested funding amount.
- **Table of Contents:** list all documents and attachments with page numbers.
- **Executive Summary:** Provide a clear, concise summary of (1) the project approach and (2) the applicant's relevant experience to implement it.
- **Project Context:** Describe the country context, present analysis of the issue to be addressed, including why it is important to address, and which stakeholders are positioned to effect change on the issue; and describe recommended approaches and solutions including supporting evidence.
- **Theory of Change & Implementation Plan:** State the Theory of Change. Describe the implementation plan (specific activities to implement suggested solutions); explain how or why they should result in accomplishment of the project goals and objectives. Projects should be designed such that activities, if implemented according to plan, should result in achievement of program objectives; and objectives, if achieved, should result in progress toward the ultimate program goal. The Theory of Change should clearly demonstrate this causal logic. Discuss potential challenges to implementation, including any risks of harm to project implementers or participants, along with mitigation strategies.
- **Gender, Equity, and Inclusion Analysis:** Include in your proposal an analysis that addresses the ways in which women, gender diverse persons, and members of other marginalized and underrepresented groups (as specified in the "Participants and Audiences" section above) might affect and be affected differently by your work, including a consideration of their safe and meaningful participation. Strengthen your proposal by incorporating the results of this gender, equity and inclusion analysis into your project design. Include a description of how you will minimize any inequities and identified potential risks.
- **Description of Prior Work: Describe** relevant projects the lead applicant and any proposed partner organizations have implemented, including approach, outcomes and deliverables (max one concise paragraph per project).
- **Sustainability:** Describe how the project impact will be sustained after the requested funding concludes, or note if sustainability is unlikely without continued support.

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

- **Change Map (see template) or equivalent**
- **Illustrative Performance Indicator Reference Sheet (see template)**

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

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

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

Organization, Staff, and Partners

The following documents may be submitted separately or combined into one document. If combined, please be sure to adhere to the page limits for each section.

- **Institutional Capacity of Applicant**– *Maximum 4 pages* Describe organization's institutional capacity including details on offices and/or staff in Chile
- Provide a summary description of past and present operations, demonstrating the applicant's ability to implement this project
- Describe experience the organization has in the subject matter area, country, and/or region
- Confirm whether the organization is a registered business entity in Chile

☐ **List of Key Personnel** – *Maximum 3 pages*
- Names, titles, responsibilities, and relevant experience or qualifications of personnel proposed to implement this project

☐ **Partner Information** – *Maximum 3 pages*
- Describe institutional capacity including details on offices and/or staff in Chile of key partner organizations and/or sub-awardees
- Briefly describe the division of labor and/or distinct roles and responsibilities among the applicant organization and its partners
- If proposing a sub-grantee, briefly describe the lead applicant organization's experience managing sub-recipients

☐ **Letters of Support** – *Required*
- Proposed sub-grantees letter of support (required)
- Other letters of support from project partners, host government entities, or other relevant stakeholders (recommended)

Project Budget and Cost Documents

☐ **Summary and Detailed Budgets**

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

- One tab of the spreadsheet shall contain the Summary Budget, which lists the OMB-approved budget categories and total estimated cost per category
- One tab of the spreadsheet shall contain the Detailed Budget, which breaks down the OMB-approved budget categories into individual line items and provides detailed cost estimates per line item
- If applicable, federal costs and recipient cost share must be reported in separate columns

☐ **Budget Narrative**

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

- The Budget Narrative should communicate to INL any budgetary information that is not readily apparent in the detailed budget. Rather than simply repeating with words what is stated numerically in the budget, the Budget Narrative should explain the logic behind the amount budgeted for each line item
- If applicable, proposed recipient cost share must be included in the Budget Narrative, including reference to the source of the cost share

☐ **Indirect Costs**

Negotiated Indirect Cost Rate Agreement (NICRA):

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

10% de minimis Rate:

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

Applicant Management Capabilities

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

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

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

- The list should include the awarding agency, point of contact, name of the project, start and end dates, and amount of the award.
- If the applicant has never received a U.S. federal assistance award, please list other projects the organization has implemented, including the information requested in the bullet above.

☐ **Organizational Audit**

- If the applicant organization is required to undergo an audit (per regulations outlined in 2 CFR 200.500 – Subpart F), a complete copy of the organization's most-recent audit must be submitted. (The financial statement is not a substitute for a single audit report. The Single audit report is an additional requirement for domestic and foreign organizations that spend $750,000 or more in federal funds in the fiscal year.)
- If the applicant organization is not required to undergo an audit (per the regulation cited above), a brief explanation must be submitted with the application. This explanation shall include confirmation that the organization is under the threshold for which an audit is required and/or plans for the organization to undergo an audit in the future.
- Responses to the Pre-Award Risk Survey in reference to the Organizational Audit does not satisfy this requirement. Please provide the required explanation in addition to the Pre-Award Risk Survey.

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

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

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

3. Document Formatting

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

☐ The proposal clearly addresses the goals and objectives of this funding opportunity
☐ All documents are in English
☐ All budgets are in U.S. dollars
☐ All pages are numbered
☐ All documents are formatted to 8 ½ x 11 inch paper, and
☐ All Word documents are single-spaced with 12 point Calibri font and 1-inch margins

4. Required Entity and Account Registrations for Applicants

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

Organizations that are first-time applicants may need to register and/or create accounts in these systems. INL encourages prospective applicants to initiate these registrations as soon as possible. Applicants that have previously applied to other opportunities may already have registrations and/or accounts in the necessary systems, though applicants should ensure their registrations are active.

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

Note: As of April 2022, a DUNS number is no longer required for federal assistance applications.

Unique Entity Identifier

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

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

NCAGE Code

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

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

Help with NCAGE Code registration issues:

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

System for Award Management (SAM.gov)

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

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

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

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

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

Organizations based outside of the United States and that DO NOT plan to do business with the DoD should follow the below instructions:

Step 1: Proceed to SAM.gov to obtain a UEI and complete the SAM.gov registration process. SAM.gov registration must be renewed annually.

Organizations based outside of the United States and that DO plan to do business with the DoD in addition to Department of State should follow the below instructions:

Step 1: Apply for an NCAGE code by following the instructions on the NSPA NATO website linked below:

NCAGE Homepage:
https://eportal.nspa.nato.int/AC135Public/sc/CageList.aspx
NCAGE Code Request Tool (NCRT):

Exemptions

An exemption from the UEI and sam.gov registration requirements may be permitted on a case-by-case basis if:

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

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

Grants.gov

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

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

Help with grants.gov registrations and application submission:

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

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

E. APPLICATION REVIEW INFORMATION

1. Technical Evaluation Criteria

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

Where technical applications are considered essentially equal, cost may be the determining factor. Applicants should note that these criteria serve as the standard against which all

applications will be evaluated and serve to identify the significant matters which applicants should address in their applications.

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

Drafters are encouraged to edit the following evaluation criteria and/or point values to fit the specific needs of their project. The points noted for each criteria below are used as examples only.

Project Analysis & Design – Total Possible Points: 50

- Analysis of the problem is insightful and accurate. Insightful analysis includes a thorough discussion of the main causes and scope of the issue the project seeks to address and discussion of who has power to effect change on the issue (7)
- Suggested approaches and solutions (i.e., the theory of change) are: (8)
    - Based on good evidence; and
    - Appropriate given the problem, its causes, and its scope
- Proposed implementation plan is: (15)
    - Aligned with suggested approaches and solutions
    - Feasible given timeline, resources, and context
    - Designed such that activities, if implemented according to plan, should result in achievement of program objectives; and objectives, if achieved, should result in achievement of program goals
- Proposal includes a gender, equity, and inclusion analysis addressing the ways in which women, gender diverse persons, and members of other marginalized and underrepresented groups, including those with intersecting aspects of identity, might affect and be affected by this project, (3)
- Description of likely challenges to implementation plan, including risks of harm to organization staff, project participants, and/or others, is thorough and mitigation strategies are appropriate (10)
- Applicant considers the gender, equity, and inclusion analysis as part of risk assessment by identifying possible risks to participants as a result of their participation in line with Do No Harm principles. (2)
- Analysis and planning for sustainability is realistic (5)

Program Monitoring and Risk – Total Possible Points: 25

- Change Map includes indicators for each goal and objective; and proposed indicators are useful for decision making, accurate in measuring the intended result, reliable, and timely (10)
- Illustrative Indicator Reference Sheet includes selected standard indicators; provides three valid indicators for goals, objectives, or sub-objectives in the change map; and demonstrates a thorough plan for data collection (5)

- Risk assessment is thorough and realistic, addresses challenges in the operating environment, and proposes adequate strategies to mitigate risks to the project (10)

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

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

Cost Effectiveness – Total Possible Points: 15

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

2. Review and Selection Process

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

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

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

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

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

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

F. AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

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

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

Issuance of this NOFO neither constitutes an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

2. Administrative and National Policy Requirements

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

- 2 CFR 25 - UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT
- 2 CFR 170 - REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION
- 2 CFR 175 - AWARD TERM FOR TRAFFICKING IN PERSONS
- 2 CFR 182 - GOVERNMENTWIDE REQUIREMENTS FOR DRUG-FREE WORKPLACE (FINANCIAL ASSISTANCE)
- 2 CFR 183 - NEVER CONTRACT WITH THE ENEMY

- 2 CFR 200 – UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS
- 2 CFR 600 – DEPARTMENT OF STATE REQUIREMENTS
- U.S. DEPARTMENT OF STATE STANDARD TERMS AND CONDITIONS

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

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

3. Program-Specific Requirements

State Department Leahy Amendment Vetting Requirements

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

The recipient will be required to exercise due diligence to ensure compliance with the Leahy

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

4. Reporting Requirements

Recipient Reports

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

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

Foreign Assistance Data Review

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

APPENDIX A: PERFORMANCE MONITORING PLAN

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

Requirements for INL Performance Monitoring are met through three documents:

1. Change Map;
2. Performance Indicator Reference Sheet; and
3. Performance Monitoring Reports.

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

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

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

APPENDIX B: PROJECT RISK ANALYSIS

Risks are unavoidable – all programs inherently contain both internal and external risks. However, with proper identification and management, risks can be prepared for, minimized or mitigated. The purpose of a risk analysis is to identify the internal and external risks associated with the proposed project in the application, rate the likelihood of the risks, rate the potential impact of the risks on the project, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document.

INL defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a program and should result in revisions to risk analysis documents and processes as necessary. Applicants should incorporate all assumptions and external factors identified in the Monitoring Plan and Proposal Narrative into the risk analysis. Applicants should rate the likelihood of a risk and potential impact of the risk as “high”, “medium”, or “low.”

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

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

APPENDIX C: BUDGET AND BUDGET NARRATIVE

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

A. Budget Proposal

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

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

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

B. Budget Narrative

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

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

<u>Category A. Personnel</u>

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

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

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

Category B. Fringe Benefits

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

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

Category C. Travel

This category outlines travel planned for staff and participants.

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

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

Category D. Equipment

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

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

Category E. Supplies

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

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

Category F. Contractual

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

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

Category G. Construction

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

Category H. Other Direct Costs

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

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

Category I. Total Direct Costs

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

Category J. Indirect Costs

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

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

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

Cost Share

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

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

C. Budget Allowances and Restrictions:

Program Income

Recipients must report any income generated by the project, also known as "program income." Program income earned during the project period shall be retained by the recipient and, in accordance with the terms and conditions of the award, shall be addressed in one or more of the following ways:

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

Cost Share

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

Considered Costs

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

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

Unallowable Costs

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

- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction
- Alcoholic beverages
- Buying or leasing land
- Direct support or the appearance of direct support for individual or single-party electoral campaigns
- Duplication of services immediately available through municipal, provincial, or national government

INL Grants Officer Specific Approvals

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

- Program income for the grantees and/or sub-grantees (Note: Program income is defined as "gross income earned by a recipient that is directly generated by a sponsored activity or earned as a result of the award". Program income must be identified, appropriately

documented, and the resulting revenue and expenses properly recorded and accounted for. Program Income must be pre-approved by the Grants Officer).

- Expenses incurred before or after the award period of performance, unless prior written approval is given by INL Grants Officer
- Costs of entertainment, including amusement, diversion, and social activities, except where these costs have a demonstrable programmatic purpose and are authorized by INL
- Construction

Additional Notices

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

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