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:	*Strengthening Capacity of the Costa Rican Judicial Authority's Institutional Anti-Corruption Mechanisms*
Funding Opportunity Number:	**INL22CA0032-WHPCOSRIC-CORRMAPPNG-03282022**
Program:	Central America Regional Security Initiative
Catalog of Federal Domestic Assistance (CFDA) Number:	19.703 - Criminal Justice Systems
Total Funding Available:	$600,000.00 U.S. Dollars
Application Ceiling:	Up to $600,000.00 U.S. Dollars
Application Floor:	At least $450,000.00 U.S. Dollars
Anticipated Number of Awards:	1 award
Initial Project Implementation Length:	36
Estimated Project Start:	June 2022
NOFO Issuance Date:	March 28, 2022
Deadline for Submission of Questions:	April 28, 2022 by 11:59 PM EST via email
Deadline for Submission of Applications:	May 9, 2022 by 11:59 PM EST via www.grants.gov
Assistance Type:	Cooperative Agreement
Applicant Types and Eligibility Categories:	Organizations only. Refer to Section C: Eligibility Information for more information.
INL Points of Contact:	PriceCH@state.gov HernandezPM2@state.gov

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

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: Conduct an assessment of the Judicial Authority's infrastructure and operations and provide technical assistance to implement recommended institutional anti-corruption mechanisms.

BACKGROUND

In the past five years, Costa Rica has faced increasing pressure from transnational criminal organizations, including narcotraffickers, which have infiltrated governmental institutions. One of the governmental organizations most affected by corruption has been the Federal Judiciary (Poder Judicial). ("Poder Judicial" has several offices under its umbrella, including the Prosecutor's Office – Ministerio Publico – the Public Defender's Office, and the Investigative Judicial Police – OIJ). Several Poder Judicial officials, including judges and OIJ police officers, have been implicated in national corruption scandals during this time. The 2017 "Cementazo" case highlighted the increasingly serious problem of corruption at the highest governmental levels in Costa Rica, resulting in the removal of a Supreme Court Justice, the Attorney General, and several members of Congress. As recently as January 2021, a judge and several members of the judicial police were detained for allegedly collaborating with organized crime gangs, and in the summer of 2021 another massive public corruption case implicating numerous government officials, (known as "Cochinilla,"), rocked the country.

As a result of the Cementazo case, Poder Judicial began implementing a series of important institutional reforms aimed at reducing opportunities for corruption. Despite these important reforms, Poder Judicial has yet to undertake a comprehensive systems mapping in order to identify the institutional risks, gaps, and weaknesses that provide entry points for corruption. Pursuant to the UNODC technical guide to the UN Convention Against Corruption, successful anti-corruption mechanisms must be based on a coherent framework built through a coordinated, systematic approach of data collection and analysis that will guide the creation of strong anti-corruption mechanisms. This institutional framework should be based upon a systems map supported by data identifying areas ripe for corruption that must be addressed. After three years of INL judicial sector anti-corruption work, Poder Judicial has expressed interest in increasing the capacity of its anti-corruption reforms by undertaking this important step.

INL Costa Rica has established a strong area of work with strategic partners within the judiciary to develop and implement programs focused on reducing corruption, improving Poder Judicial's ability to respond to instances of corruption within its ranks, and increase judicial, prosecutor, public defender and investigative police personnel's awareness of corruption, and anti-corruption preventative and punitive measures. This specific project is designed to provide technical assistance to Poder Judicial to conduct a systems mapping that will identify entry points for corruption within Poder Judicial; produce a report grounded in verifiable data and information that will make recommendations for eliminating those entry points; and technical assistance to create a framework and strengthen mechanisms that will increase Poder Judicial's capacity to reduce and effectively combat corruption.

1. **Priority Region/Countries**
   Costa Rica

2. **Project Goal(s)**

   The goal of this project is for INL Costa Rica to build an institutional framework that will help strengthen Poder Judicial's internal mechanisms to reduce the risk of corruption.

3. **Project Objectives**

   The following objectives are expected to be achieved:

   Objective 1: Poder Judicial Implements Strategies Designed to Close Entry Points for Corruption

   YEAR ONE

   Sub-Objective 1.1: Poder Judicial Implements a Comprehensive Institutional Systems Mapping Process to Identify Entry Points for Corruption

   Under this objective and sub-objective, technical assistance will be provided to Poder Judicial through the following activities:

   - **Identify the Actors Responsible to Administer, Plan and Implement the Mapping Process:** The "Poder Judicial Mapping Team"
   - **Create an Implementation Plan for the Mapping:** This will include key agencies, offices and systems, key counterparts, necessary data, the creation of a "mapping tool", established roles and responsibilities of key personnel implementing the mapping, and include priority areas identified by Poder Judicial.
   - **Implement the Mapping Plan:** Technical assistance to conduct the Institutional Mapping of Poder Judicial Systems and Components according to the implementation plan.
   - **Mapping Report:** Provide technical assistance to write a complete report identifying gaps, risks, breaches, procedures, inefficiencies, and provide specific recommendations identified in the mapping process.
   - **Validation of Mapping Finding and Recommendations:** Validate specific recommendations with agencies/offices of Poder Judicial that participated in the mapping.

   YEARS TWO AND THREE

   Sub-Objective: 1.2: Poder Judicial Implements Recommendations Identified in the Mapping Assessment Report

   Under this sub-objective, technical assistance will be provided to Poder Judicial through the following activities:

   - **Implementation (of Mapping Findings and Recommendations) Planning Meetings:** Conduct a series of planning meetings with POCs responsible for each of the offices/agencies identified in the Recommendations in order to develop specific action plan for implementing recommendations.

- **Develop an Action Plan:** Technical assistance to develop an action plan for implementing specific validated recommendations.

Sub-Objective 1.3 Poder Judicial Implements Comprehensive, Integrated Risk Management Measures

Under this sub-objective, technical assistance will be provided to Poder Judicial through the following activities:

- **Develop Universal Glossary of Terms:** Technical assistance to identify risk factors for corruption and conflicts of interest to ensure consistent data analysis and collection. This glossary shall be aligned with a glossary of terms created for identifying risks (as applicable)
- **Develop a Risk Catalogue for the Poder Judicial Auditor's Office:** Technical assistance to develop protocols associated with risks of conflicts of interest and corruption
- **Risk Management System:** Provide technical assistance to the Poder Judicial Auditor's Office to develop a risk management system
- **Develop a Risk Management Training Program**
- **Conduct Risk Management Trainings**

Subobjective 1.4: Poder Judicial Implements Improved Data Collection, Management, Sharing, and Dissemination Systems Designed to Curb Corruption

Under this sub-objective, technical assistance will be provided to Poder Judicial through the following activities:

- **Build Capacity for the Judicial Observatory to Improve Data Management:** Provide technical assistance to the Judicial Observatory to strengthen its systems for collecting, analyzing, using and reporting data, with the goal of reducing opportunities for corruption and increasing Poder Judiciary's public credibility
- **Develop Methodologies for Managing Data Types:** Provide technical assistance to the Judicial Observatory to implement methods & policies to manage various forms of data, including extrapolating & analyzing data from the Compliance Office
- **Create a Universal Glossary of Terms for Case Data Reporting:** Provide technical assistance to create a universal glossary of terms and protocols for Poder Judicial, OIJ, and Ministerio Publico for the entry, reporting, and sharing of data related to investigations, prosecutions and adjudications. This glossary shall be aligned with a glossary of terms created for identifying risks (as applicable) developed in Activity 1.3.1
- **Implement Information Management Policies & Protocols:** Provide technological assistance to implement data reporting & information sharing developed in Activity 1.4.2 with the Observatory, OIJ and Ministerio Publico offices in charge of cases of corruption and organized crime.
- **Evaluate Judicial Effectiveness Tools:** Provide technical assistance to evaluate the possible use of data collection tools, such as "Jurimetria", to map the effectiveness of judicial sentences

- **Establish a Data Dissemination & Public Communications Strategy for Poder Judicial Observatory:** Provide technical assistance to the Observatory to create a public communication strategy that will provide inclusive and informative access to data
- **Develop a Training Program:** Technical assistance to develop a training program for Poder Judicial personnel on data management strategies and protocols developed under this subobjective
- **Conduct Trainings on Strategies and Protocols Developed under this Sub-Objective**

Subobjective 1.5 Poder Judicial Has Increased Capacity to Manage Corruption Risk Through Effective Internal Communication Strategies

Under this sub-objective, technical assistance will be provided to Poder Judicial through the following activities:

- **Create an Action Plan to Establish Internal Communication Policies:** Technical assistance to develop an action plan that will facilitate and improve internal communication between Poder Judicial offices and regional offices
- **Establish Strategies to Engage and Educate Poder Judicial Staff on Institutional Anti-Corruption Efforts and Mechanisms:** Technical assistance to develop strategies for increasing staff understanding of institutional expectations regarding anti-corruption protocols, & staff interest and capacity in contributing to the fight against corruption
- **Strengthen Institutional Internal Communication Methods:** Technical assistance to strengthen institutional internal communication methods, such as trainings, audio-visual material, documentaries, etc.
- **Develop an Institutional Communication Training Program:** Technical assistance to develop a training program on the internal communication strategies and protocols developed under this subobjective
- **Conduct Trainings:** Technical assistance to conduct trainings on communication strategies and protocols developed under this subobjective

Subobjective 1.6: Poder Judicial Develops Human Resources Systems and Practices to Reduce the Risk of Corruption

Under this subobjective, technical assistance will be provided to Poder Judicial through the following activities:

- **Strengthen Human Resources Systems and Policies:** Technical assistance to: Create standardized position descriptions; Create andstrengthen staff recruitment, selection, retention, promotion and disciplinary protocols and procedures; Create protocols and practices that promote stability and reduce position turnover; Create and strengthen rigorous protocols for selection, promotion, training & disciplinary protocols & practices for judges that ensure high judicial competence.
- **Create a Protocol that Facilitates Integrated Processes between Poder Judicial Training Units & Human Resources**
- **Design a Training Program for Managers in Poder Judicial Offices:** Technical assistance to design a training program that promotes staff retention and adherence to institutional ethics and values.

- **Risk Detection Training**: Design a training program for managers based on risk detection and reduction and management of risks.
- **Conduct Trainings:** Conduct trainings for managers on personnel management & risk detection in programs
- **Develop and/or Improve Existing Management Processes and Standards to Reduce Opportunities for Corruption**

Subobjective 1.7 Poder Judicial Has the Capacity to Assess Institutional Corruption Risks

Under this subobjective, technical assistance will be provided to Poder Judicial through the following activities:

- **Final Assessment:** Conduct a Final Assessment (with Findings & Recommendations) of the Implementation of the Mapping Report Findings and Recommendations
- **Validation:** Conduct a Validation of Assessment Findings with participating Poder Judicial Offices
- **Implementation**: Provide technical assistance to help Poder Judicial adopt and implement Assessment Findings and Recommendations

The Implementer should apply the following in their proposal:

- **Theory of change approach**
- **Adult learning methodology**

4. **Participants and Audiences**
   Poder Judicial: (governing body "units" such as the Compliance Office, Human Resources, Judicial School, Observatory, etc.); "agencies" under Poder Judicial's umbrella, including the Courts, Ministerio Público (Prosecutors' Office), Defensa Pública (Public Defenders' Office), and the Investigative Judicial Police (OIJ).

5. **Project Expansion**

   If the project is successful, INL will consider the option of expanding the project within Poder Judicial, subject to availability of future funding. Applicants may include in their proposal a brief section outlining how additional funds could potentially be used to expand work into additional activities in future years. Applicants are strongly encouraged to demonstrate how their project might leverage recently-concluded INL-funded anti-corruption projects, and current INL-funded anti-corruption projects with Poder Judicial.

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 Cooperative Agreement;
- Approval of specified key personnel;
- 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 country- 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: 36 months

Anticipated program start date: June 2022

Number of awards anticipated: 1 award (dependent on amounts)

Award amounts: awards may range from a minimum of $450,000 to a maximum of $600,000

Total available funding: $600,000

Type of Funding: INCLE

C. ELIGIBILITY 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;

Applicants must also meet the following requirements to be eligible to apply to this NOFO:

- Applicants should have extensive experience implementing similar anti-corruption projects with judicial authorities in Costa Rica, or in Central and South America

PLEASE NOTE: *Public International Organizations (PIOs) and Private For-Profit Organizations are excluded from applying to this grant announcement. – If you are unsure about your eligibility status, please consult the INL POCs during the Q&A period.*

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

- In order 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 it 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 20 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, requested number of months, target country(ies), point(s) of contact, and requested funding amount.
     - **Table of Contents:** list all documents and attachments with page numbers.
     - **Executive Summary:** Provide a synopsis of the project.

- **Project Context:** Include an analysis of the issue to be addressed, including why it is important to address, what the main causes of the issue are, and who has power to effect change on the issue; suggested approaches and solutions (with evidence to support suggestions); and suggestions for revision to NOFO goals and objectives if needed.
- **Theory of Change & Implementation Plan:** 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 (i.e., the theory of change). 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 achievement of program goals. The Theory of Change should clearly demonstrate this causal logic. Finally, discuss likely 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:** Provide brief descriptions, including outcomes and deliverables, of any similar projects the organization has implemented.
- **Future Funding Plan/Sustainability:** Briefly discuss the plan for ensuring the sustainability of the project (i.e., that the project continues to have impact beyond the grant period) or note if sustainability is unlikely without continued support. Applicants may also include a brief section outlining how additional funds could potentially be used to expand work into additional activities or countries beyond the initial project period.

☐ **Performance Monitoring Plan**

See Appendix A for more details and instructions. Applicants **<u>MUST</u>** submit the following:

- **Change Map (see template) or equivalent (**<u>The Draft Change Map included in Appendix A was developed in collaboration with country counterparts, and implementers are expected to follow the goals, objectives, activities and indicators outlined therein. Applicants should use this as a guide in developing their Change Map for this NOFO, and should feel free to add and/or propose additional data sources, activities, indicators and targets that they perceive may help better achieve the stated objectives).</u>
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- **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.

<u>Organization, Staff, and Partners</u>
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.

☐ **Biographical Information of Applicant Organization –** *Maximum 4 pages*
- Introduce the applicant organization, including biographical information such as mission statement, organization size, relevant office location(s), etc.
- Provide a summary description of past and present operations, demonstrating the applicant's ability to carry out the project
- Describe any experience the organization has in the target country or region
- Confirm whether the organization is a registered business entity within the target country or region

☐ **List of Key Personnel** – *Maximum 3 pages*
- Names, titles, responsibilities, and relevant experience or qualifications of key personnel involved in the management of the project

☐ **Partner Information –** *Maximum 3 pages*
- Introduce and provide relevant information about key partner organizations and 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, please briefly describe the applicant organization's experience related to managing sub-recipients

☐ **Letters of Support** – *Optional*
- If desired, applicants may submit letters of support from project partners, host government entities, or other relevant stakeholders

<u>Project Budget and Cost Documents</u>

☐ **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

☐ **NICRA** – *Optional*

- 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

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

- 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.

☐ **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, at minimum, single-spaced with 12 point Times New Roman 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.

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.

Effective April 4, 2022, the DUNS Number will be replaced by the Unique Entity Number (UEI) as the primary means of entity identification for all federal awards U.S. government wide. For more information, please go to the following link: https://www.fsd.gov/gsafsd_sp

NCAGE/CAGE Codes

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 via 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.

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.

NOTE: As of April 2021, any new or renewed SAM.gov registrations were given a Unique Entity Number (UEI). UEI does not expire, however you must renew your SAM.gov registration annually.

For more information regarding the transition from UEI(DUNS) to UEI(SAM), please click on the following link: https://www.fsd.gov/gsafsd_sp

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.

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 (10)
- Suggested approaches and solutions (i.e., the theory of change) are: (10)
    - Based on good evidence; and
    - Appropriate given the problem, its causes, and its scope
- Proposed implementation plan is: (12)
    - 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 (8)

- 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)

<u>Program Monitoring and Risk – Total Possible Points: 25</u>

- 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 (10)
- Risk assessment is thorough and realistic, addresses challenges in the operating environment, and proposes adequate strategies to mitigate risks to the project (5)

<u>Institution's Record and Capacity Rating – Total Possible Points: 10</u>

- 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 <u>OR</u> 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)

<u>Cost Effectiveness – Total Possible Points: 15</u>

- 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: http:/www.policyworks.gov/.
    - 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 in a project; 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.
- **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 $698/day per person, effective January 1, 2022. The 2021 rates will apply to all NOFOs issued before January 1, 2022, until amended.

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, wifi, 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

Costs Requiring 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.