

PROPOSAL SUBMISSION INSTRUCTIONS (PSI)

Bureau of Counterterrorism and Countering Violent Extremism (CT)

I. APPLICATION AND SUBMISSION INSTRUCTIONS

Technically eligible submissions are those that: 1) Arrive via SAMS Domestic (https://mygrants.service-now.com/grants/portal_login.do) designated due date and time, and 2) heed all instructions contained in the NOFO and this Proposal Submission Instructions (PSI).

As of 2017, the U.S. Department of State requires that all CT awards applicants submit proposals through SAMS Domestic. If successful, the applicant must secure the ability to manage the award through this portal. CT urges organizations to begin the registration process well in advance of the submission deadline.

For assistance with the system, applicants must contact the SAMS Domestic Help Desk at 1-888-313-4567 or email: ilms@state.gov. It is the applicant's responsibility to ensure proposals have been submitted and received in advance of the deadline.

CT urges prospective applicants to confirm as soon as possible that their organization has a current Unique Entity Identifier (Dun and Bradstreet (DUNS) number) and a current registration in the System for Award Management (www.sam.gov)—both federal requirements—and then to immediately initiate registration for your organization in SAMS Domestic. SAMS Domestic user accounts are specific to the registered individual in your organization, rather than the organization as a whole. If multiple or separate individuals will be responsible for electronically negotiating, accepting, and countersigning any awards in SAMS Domestic, each individual must have a separate user account registration.

TECHNICAL FORMAT REQUIREMENTS

For all application documents, please ensure:

- A) All pages are numbered, including budgets and attachments
- B) All documents are formatted to 8 ½ x 11 paper
- C) All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with one-inch margins
- D) All documents must be submitted in English

Complete applications must include the following for proposal submissions:

1. Forms: Completed and signed SF-424, SF-424A, and SF-424B

2. Table of Contents: Not to exceed one [1] page in Microsoft Word for the full proposal, including attachments, with page numbers

3. Executive Summary: Not to exceed two [2] pages in Microsoft Word) including:

- a) The target country(ies)
- b) Name and contact information for the project's main point of contact
- c) A statement of work or synopsis of the project, including a concise breakdown of the project's objectives, activities, and expected results
- d) The total amount of funding requested and project length
- e) A brief statement on how the project is innovative, sustainable, and will have a demonstrated impact

4. Proposal Narrative: Not to exceed 10 pages in Microsoft Word. Please note that the page limit does not include the Table of Contents, Executive Summary, Attachments, Detailed Budget, Budget Narrative, or NICRA. Applicants are encouraged to submit multiple sections in a single Microsoft Word document (e.g., Table of Contents, Executive Summary, and Proposal Narrative in one file).

Proposal narratives should include the following components:

- Introduction
- Problem Statement and Rationale
- Technical Approach
- Organizational Capacity, Key Personnel, and In-Country Experience

Applicants should describe the problem and how the project will achieve or contribute to achieving a sustainable solution with measurable results. The rationale should also reflect understanding of the priorities described in the NOFO. Under technical approach, applicants should describe the planned activities, and relevant stakeholders for implementation. Applicants should also list assumptions that will likely affect the ultimate success of the project. This could include elements such as geographic location, operating environment, coordination with other international organizations, or political will from host governments, private sector, and NGOs. As appropriate, limited contingency options should be included in the proposal, in case that initial planning assumptions are not met. The applicant should explain, as necessary, the particular technical and country-specific experience and qualifications the organization brings to the project, including key personnel.

Example of a planned activity and contingency:

Planned Activity	Contingency
<i>Mentor a group of male youth in Lamu County.</i>	<i>If security declines in Lamu County, determine an alternative location to target mentoring activity.</i>

5. Detailed Line-Item Budget: (Microsoft Excel) (See Tab B) Includes three [3] columns: the request for federal funds, any cost sharing contributions, and total budget. A summary budget

should be included using the OMB approved budget categories (as in SF-424A). Costs must be presented in whole U.S. dollars.

6. Budget Narrative: (Preferably in Microsoft Word) Includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, CT asks applicants to order the budget narrative to correspond to the Detailed Line-Item Budget. Personnel costs should indicate the percentage of time devoted to the project and the rate. The budget narrative should communicate to CT any information that might not be readily apparent in the budget, not simply repeat with words what is stated numerically in the budget.

7. Financial Management Survey: Applicants should fill out the Financial Management Survey template provided in order to demonstrate adequate financial management capability.

8. Attachments: (5-12 pages, preferably in Microsoft Word) Three mandatory attachments include the following in order (see Appendix A and B for more information):

- a) Roles and Responsibilities, including Key Personnel Resumes
- b) Timeline/Schedule of Activities
- c) Performance Monitoring Plan with Logic Model
- d) Additional optional attachments. Attachments may include further timeline information, letters of agreement, memoranda of understanding (MOU)/agreement, etc. For applicants with a large number of letters/MOUs, it may be sufficient to provide a list of the organizations or government agencies that support the project.

9. NICRA/Indirect Cost Rate: If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, your latest NICRA must be included as a .pdf file. Applicants should indicate in the proposal budget how the rate is applied and if any of the rate will be cost-shared. This document will **not** be reviewed by the panelists, but rather used by project and grant staff if the submission is recommended for funding. Therefore, its inclusion does not count against the submission page limitations, as described above. If your proposal involves sub-grants to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file.

Per 2 CFR 200.414, applicants may elect to charge a de minimis rate of up to 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in 2 CFR 200.403, factors affecting allowability of costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time.

10. Audit: Include a copy of your organization's most recent audit; if applicable (please refer to the 2 CFR 200 for requirements). Like the NICRA documentation, this document will not be reviewed by the Review Committee and will not be counted against the page limitations.

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

- 1) Complies with the requirements of 2 CFR 200 Subpart F "Audit Requirements"

- 2) Complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, "Audits of Not-for-Profit Organizations Receiving federal Awards"
- 3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, "Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents," where applicable. When the U.S. Department of State is the largest direct source of federal financial assistance (i.e., the cognizant federal Agency) and indirect costs are charged to federal grants, a supplemental schedule of indirect cost computation is required

A non-federal entity that expends \$750,000 or more during the non-federal entity's fiscal year in federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200 subpart F. For more information, see Audit Services, 2 CFR 200.425.

Note: To ensure all applications receive a balanced review process, a Department of State Review Committee will review up to the page limit of each requested section and no further. CT urges organizations to use the given space effectively. CT retains the right to request additional documentation for items not specified in this PSI.

INFORMATION ON STANDARD FORMS

Please see Tab C for instructions for completion of Standard Forms 424, 424A, and 424B.

UNIFORM ADMINISTRATIVE REQUIREMENTS

Organizations should also be aware that if ultimately selected for an award, the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards set forth in 2 CFR Chapter 200 (Sub-Chapters A through F) and 2 CFR 600 (Department of State specifications) shall apply to all non-federal entities, except for assistance awards to Individuals and Foreign Public Entities. Please note that as of December 26, 2014, 2 CFR 200 (Sub-Chapters A through E) now applies to foreign organizations, and Sub-Chapters A through D shall apply to all for-profit entities. The applicant/recipient of the award and any sub-recipient under the award must comply with all applicable terms and conditions, in addition to the assurance and certifications made part of the Notice of Award. The Department's Standard Terms and Conditions can be viewed at

https://www.statebuy.state.gov/fa/Documents/2016DeptTermsAndConditions_FA.pdf

TAB A: MANDATORY ATTACHMENT GUIDELINES

a) Roles and Responsibilities:

Indicate the roles and responsibilities of key project personnel with short biographies that highlight professional experience as it relates to the organization's capacity to implement the proposed project.

b) Timeline/Schedule of Activities:

Provide a timeline or schedule of activities for overall project implementation. Components should include and clearly identify activities, monitoring and evaluation efforts, and project closeout. You may use a table, a Gantt chart, or another format that is suitable for showing the timing of the planned activities and the relationship between or sequencing of the activities. Choose the best tool to demonstrate the timeline for your program plan.

TAB B: BUDGET GUIDELINES

Complete budgets will provide a detailed line-item budget outlining specific cost requirements for proposed activities. A minimum of three columns should be used to delineate the bureau funding request, cost-share by applicant, and total project funding. Complete applications will include a budget narrative to clarify and justify individual line-items (i.e., calculations of how the costs were derived per month or year, their necessity, and overall contribution to the project's cost-effectiveness).

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

	CT Request	Cost Share	Total
A. PERSONNEL			
B. FRINGE BENEFITS			
C. TRAVEL			
D. EQUIPMENT (items \$5,000 and above)			
E. SUPPLIES (items below \$5,000)			
F. CONTRACTUAL (subgrants or consultant fees)			
H. OTHER DIRECT COSTS			
I. TOTAL DIRECT CHARGES (Sum of A-H Subtotals)			
J. INDIRECT CHARGES (NICRA or 10% de minimis)			
K. TOTAL COSTS (Sum I-J)			

Note: The above is designed to serve as an example of the format for complete budget submissions and is NOT exhaustive. Please utilize the attached template. Individual line items included in each applicant's budget should reflect specific project activities (pax = participants).

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

As mentioned above, the detailed budget should also include an accompanying budget narrative that explains and justifies each line item, in the suggested format below:

LINE-ITEM BUDGET

A. Personnel – Identify staffing requirements by each position title and brief description of duties for this project. For clarity, list the annual salary of each position, percentage of time, and number of months devoted to the project (e.g., Administrative Director: \$30,000/year x 25% x 8.5 months; calculation: $\$30,000/12 = \$2,500 \times 25\% \times 8.5 \text{ months} = \$5,312$). A non-federal entity must follow its written entity-wide policies and practices including compensation.

B. Fringe Benefits – State the costs of benefits separately from salary costs and explain how benefits are computed for each category of employee - specify type and rate.

C. Travel – Staff and/or Participant travel:

- a) International airfare
- b) Domestic travel (within the United States)
- c) In-country travel (within the partner country/ies)
 - d) Per diem/maintenance, which includes lodging and meals and incidental expenses (M&IE) for both participant and staff travel. In accordance with CT policy, per diem rates may not exceed the published U.S. government allowance rates, however institutions may use per diem rates lower than official government rates. Rates of maximum allowances for U.S. travel are available at <http://www.gsa.gov> and foreign per diem rates are available at https://aoprals.state.gov/web920/per_diem.asp
- e) Staff refers to grantee organization staff only, and not sub-grantee staff or contractors

D. Equipment – Provide justification for any equipment purchase, defined as tangible personal property having a useful life of more than one year and a unit cost of \$5,000 or more.

E. Supplies – List items separately using unit costs to the maximum extent practicable (and the percentage of each unit cost being charged to the grant). Organizations that have supplies as part of their indirect cost pool may not charge them to the grant.

F. Contractual –

a) Sub-grants. For each sub-grant, please provide a detailed line-item budget breakdown, using the approved OMB budget format, explaining specific services.

b) Consultant Fees. Costs may include lecture fees, honoraria, travel, and per diem for outside speakers or independent evaluators. List the number of people and rates per day (e.g., 2 consultants x \$150/day x 2 days).

G. Other Direct Costs – These will vary depending on the nature of the project. The inclusion of each line item should be justified in the budget narrative. Line items such as equipment rental, photocopying, postage, telephone/fax, or printing may be included here. All costs must be allowable, allocable, and reasonable, and consistent with OMB guidelines. Line items such as “Miscellaneous,” “Contingency Fund,” and “Reserve Fund” are not permitted.

H. Indirect Charges – See 2 CFR 200.414 “Indirect Costs”

- 1) If your organization has a NICRA with the U.S. Government, please include a copy of this agreement. Specify if your organization elects instead to charge the de minimis rate of up to 10% of the *modified total direct costs* (MTDC)
- 2) If your organization is charging an indirect rate, please indicate how the rate is applied, e.g., to direct administrative expenses, to all direct costs, to wages and salaries only.
- 3) Do not include indirect costs against participant expenses in the federal share of the budget, as it generally does not pay for these costs.

Cost-Effectiveness/Cost Share – Applicants should demonstrate cost-effectiveness by presenting reasonable budgets based on real figures. Budgets that either significantly over-estimate or underestimate line item amounts will not be viewed as cost-effective. In addition, it is recommended that the budget narrative address the leveraging of institutional or other

resources to demonstrate the applicant's ability to economize and plan effectively.

Cost sharing, or matching, refers to a portion of project or program cost that is not borne by the federal government. Cost sharing is **not** required and will not be used as a factor in proposal review. For any cost share included, please provide an explanation of the contributions, whether cash or in-kind. Assign a monetary value in U.S. dollars to each in-kind contribution. If the proposed project is a component of a larger program, identify other funding sources for the proposal and indicate the specific funding amount to be provided by those sources. Grantees must follow cost sharing or matching policy as stipulated in 2 CFR 200.306. Cost sharing amounts proposed will be incorporated as part of the allowable budget items. If selected for an award, your organization will have to provide the minimum amount of cost sharing as stipulated in the budget approved by the Grants Officer. If your organization does not meet its cost share amount stipulated in the approved budget by the end of the period of performance, CT will have the option to (1) reduce its contribution in proportion to your organization's contribution in the event that you do not provide the minimum amount of cost sharing stipulated in the budget or (2) hold your organization accountable for the amount specified in the approved budget.

BUDGET CONDITIONS AND RESTRICTIONS

CT does not pay for the following:

- Publication of materials for distribution within the United States;
- Administration of a project that will make a profit;
- Expenses incurred before or after the specified dates of award period of performance (unless prior written approval is received);
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction;
- Alcoholic beverages;
- Costs of entertainment, including amusement, diversion, and social activities and any associated costs are unallowable, except where specific costs that might otherwise be considered entertainment have a programmatic purpose and are authorized either in the approved budget for the federal award or with prior written approval of the federal awarding agency;
- Land;
- Construction.

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

TAB C: GUIDELINES FOR STANDARD FORMS

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

1. Type of Submission: Application
2. Type of Application: New
3. Date Received: Leave blank. This will automatically be assigned
4. Applicant Identifier: Leave blank
5. (5a) Federal Entity Identifier: Leave blank
(5b) Federal Award Identifier: Leave blank
6. Date Received by State: Leave blank. This will automatically be assigned
7. State Application Identified: Leave blank. This will automatically be assigned
8. (8a) Enter the legal name of the applicant organization.
(8b) Employer/Taxpayer ID Number: Enter applicant specific number.
(8c) Unique Entity Identifier (DUNS): Organizations can request a DUNS number at <http://fedgov.dnb.com/webform>
(8d) Enter the full address of the applicant
(8e) Enter the name of the primary organizational unit (and department or division) that will undertake the assistance activity, if applicable
(8f) Enter the name, title, organization, and contact information of person to be contacted on matters involving this application
9. Select an applicant type (type of organization)
10. Enter: Counterterrorism
11. Enter: 19.701
12. Enter the Funding Opportunity Number and title. This number will already be entered on electronic applications
13. Enter the Competition Identification Number and title. This number will already be entered on electronic applications
14. Areas Affected by Project: List the country or countries where project activities will take place in alphabetical order
15. Enter the title of the proposed project (if necessary, delete pre-printed wording)
16. (16a) Enter Congressional district of Applicant (if foreign applicant, enter 90)
(16b) Enter: 00
17. Enter the projected start date and end date (indicated in the NOFO)
18. (18a) Enter the amount requested for the project under “Federal”
(18b) Enter any cost-share under “Applicant” otherwise use zeros
19. Enter “c”
20. Select the appropriate box. If you answer “yes” to this question you will be required to provide an explanation
21. Enter the name, title, and contact information of the individual authorized to sign for the application

SF-424A – Please review the detailed instructions below before completing this form online

Section A - Budget Summary - Complete Row 1

1a. Enter: CT Grants Serviced By AQM

1b. Enter: 19.701

1c. Leave this field blank

1d. Leave this field blank

1e. Enter the amount of federal funds you are requesting for this project

1f. Enter the amount of any other funds you will receive towards this project

1g. Enter the total cost of this project

Rows 2, 3, and 4 may be left blank.

Section B - Budget Categories – Enter total project costs in each category in Column 1 as described below. In Column 5, the form should automatically show the sum. Columns 2, 3, and 4 should be left blank.

6a-h. Enter the amount for each object class category (Include cost share).

6i. Enter the sum of 6a-6h

6j. Enter any indirect charges

6k. Enter the sum of 6i and 6j

7. Enter any program income that will be earned as a result of the project. If there is none leave this section blank.

Section C - Non-Federal Resources (Only complete this section if your project includes an applicant cost share or funds from other sources)

8a. Under Grant Program enter: CT Grants Serviced By AQM

8b. Enter your cost share amount

8c. Enter the amount of any other funding sources for this project

8d. Leave blank

8e. Enter the total amount for all non-federal resources (the form should automatically show this sum)

Rows 9, 10, and 11 should be left blank.

Section D - Forecasted Cash Needs

13. In the first column enter the amount of federal funds you expect to expend in the project's first year. Forecasted cash needs by quarter are not required.

14. In the first column enter the amount of non-federal funds you expect to expend in the project's first year. Forecasted cash needs by quarter are not required.

15. In the first column enter the sum of 13 and 14 (the form should automatically show this sum). Forecasted cash needs by quarter are not required.

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

16a. Under Grant Program enter: CT Grants Serviced By AQM

16b-e. Enter the amount of federal funds you expect to expend in each subsequent year of the project.

Rows 17, 18, 19 should be left blank.

20. Enter the total amount for each year (The form should automatically show this sum.)

Section F - Other Budget Information

21. Enter: Direct Charges – **Leave Blank**

22. Enter: Indirect Charges – If Indirect Charges are shown in Section B 6, enter the type of Indirect Rate used (Provisional, Predetermined, Final, or Fixed)

23. Enter any other explanations or comments deemed necessary.

SF-424B

Fill in the appropriate fields. Complete applicant organization and title of authorized official sections. The Authorized Official is generally the grant signatory at the organization or institution.

II. APPLICATION REVIEW INFORMATION

The technical applications will be reviewed in accordance with the Technical Review Criteria set forth below. Applicants should organize the narrative sections of their technical applications in the same order as the selection criteria. Technical review of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

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

TECHNICAL REVIEW CRITERIA

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

Where technical applications are considered essentially equal, cost may be the determining factor. Applicants should note that these criteria serve as the standard against which all applications will be reviewed 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 30 points is possible.

Based on applications that responsive to the requirements outlined above, the review panel will use the following criteria when rating proposals:

-- Program Narrative [5]

Projects should note how activities directly contribute to strengthening family and community networks to counter terrorist recruitment. The proposal should demonstrate a logical approach and show how the project objectives and tasks are linked and how they will be achieved and measured during the project period. Proposed projects should address long-term institutional and/or organizational development with an emphasis on moving towards sustainability.

-- Plan for Measuring Program Effectiveness [5]

Output and outcome indicators should be clearly linked to project goals and objectives. The project should demonstrate the capacity for engaging in both periodic monitoring and end of project evaluation to articulate the effectiveness of the intervention.

-- Organizational Capability and Record of Performance [5]

CT will consider the demonstrated past performance of prior recipients and the demonstrated potential of new applicants. Proposed personnel and organizational resources should be adequate and appropriate to achieve the project's goals. Roles and responsibilities of primary staff should be clear.

-- Budget Detail and Cost Effectiveness [5]

The overhead and administrative components of the proposal should be necessary and appropriate to the execution of the project. The presentation of each line-item and corresponding budget narrative should demonstrate that the organization's efforts will be consistent with sound financial management practices.

-- Key Personnel [5]

Key personnel should have experience and /or academic knowledge of mobilizing family and community networks in terrorism and/or conflict-affected communities, preferably of boys and men and working with marginalized communities on sensitive issues.

-- Monitoring and Evaluation Approach [5]

Applicants should outline on one page their basic approach to monitoring and evaluating their programs, including methods of reporting and recording programmatic successes and challenges. Proposals should include follow-up monitoring activities within the proposed period of performance to determine effectiveness of program implementation. Though not required, CT strongly supports the inclusion of third party evaluators as part of the project proposals and applicants cannot receive a full five points without it.

COST REVIEW

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

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

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