

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

|                                                       |                                                                                                                                                                                                                                    |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Announcement Type:                                    | Request for Federal Assistance Awards Applications                                                                                                                                                                                 |
| Public Opportunity Title:                             | Building Trilateral Cooperation between Mozambique, South Africa, and Vietnam to Combat Wildlife Trafficking                                                                                                                       |
| NOFO Opportunity Number:                              | SFOP0004251                                                                                                                                                                                                                        |
| Catalog of Federal Domestic Assistance (CFDA) Number: | 19.705 – Transnational Crime                                                                                                                                                                                                       |
| Funding Amount:                                       | Not to exceed the total amount of \$1,000,000 U.S. Dollars                                                                                                                                                                         |
| NOFO Issuance Date:                                   | March 15, 2018                                                                                                                                                                                                                     |
| Deadline for Receipt of Questions:                    | April 15, 2018; 11:59 PM Eastern Standard Time                                                                                                                                                                                     |
| Closing Date and Time for Submission of Applications: | May 15, 2018<br>11:59 PM Eastern Standard Time via <a href="http://www.grants.gov">www.grants.gov</a>                                                                                                                              |
| Program Type:                                         | INL/C Wildlife Trafficking                                                                                                                                                                                                         |
| Grant Program:                                        | INL/C Program to Combat Wildlife Trafficking                                                                                                                                                                                       |
| Assistance Type:                                      | Grant                                                                                                                                                                                                                              |
| Eligibility Category:                                 | U.S. based or overseas-based non-profit/non-governmental organizations (NGOs) having a 501(c)(3) status with the IRS and U.S. or overseas private/state institutions of higher education. See complete eligibility criteria below. |
| Applicant Type:                                       | NGOs, Educational Institutions                                                                                                                                                                                                     |
| Award Ceiling:                                        | \$1,000,000                                                                                                                                                                                                                        |
| Award Floor:                                          | \$500,000                                                                                                                                                                                                                          |
| Cost Sharing Requirement:                             | Not required but recommended                                                                                                                                                                                                       |

## EXECUTIVE SUMMARY

The mission of the State Department's Bureau of International Narcotics and Law Enforcement Affairs (INL) is to minimize the impact of international crime and illegal drugs on the United States, its citizens, and partner nations by providing effective foreign assistance and fostering global cooperation. This mission, which centers on helping our partner nations establish a capable and accountable criminal justice sector, was expanded during the past decade to include stabilizing post-conflict societies through criminal justice sector development and reform. This mission supports peace and security by stabilizing and strengthening security institutions and by combating narco-trafficking and other transnational crimes such as money laundering and criminal gangs. It promotes just and democratic governments by strengthening justice sector institutions, good governance and respect for human rights.

INL combines forces with other USG and international agencies and takes a regional approach to widespread problems. INL also encourages more developed governments to take responsibility as equal partners in global efforts to combat transnational crime, include drug trafficking. The Bureau's priority programs support three inter-related objectives:

- **BUILDING CRIMINAL JUSTICE SYSTEMS:** Institutionalize rule of law by developing and expanding criminal justice systems to strengthen partner country law enforcement and judicial effectiveness, foster cooperation in legal affairs, and advance respect for human rights;
- **COUNTER-NARCOTICS:** Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations, and;
- **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks on the U.S. and its allies through enhanced international cooperation and foreign assistance.

## NOTICE OF FUNDING OPPORTUNITY

The United States Department of State, Bureau of International Narcotics and Law Enforcement Affairs, is seeking applications from qualified Non-Governmental Organizations (NGOs), Educational Institutions, and other qualified organizations for a Grant to implement a program entitled "Building Trilateral Cooperation between Mozambique, South Africa, and Vietnam to Combat Wildlife Trafficking." The authority for this Notice of Funding Opportunity (NOFO) is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 2 CFR 200.400g, it is U.S. Department of State policy not to award profit under assistance instruments. All reasonable, allocable, and allowable expenses, however, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (2 CFR 200 for U.S. and overseas-based non-profit organizations, and universities), may be paid under the grant agreement. *NOTE: Overseas-based nonprofit organizations are legally required to comply with the 2 CFR 200.*

Subject to the availability of funds and pending Department of State management approvals, INL

intends to issue awards in an amount not to exceed \$1,000,000 in total funding. The U.S. dollar amount will be funded from INL allocated funds, for an initial program period of up to two (2) years. INL may award up to two (2) additional years contingent on INL priorities, good performance of the recipient, Department of State management approvals, and funding availability. ***INL reserves the right to fund any or none of the applications submitted and will determine the resulting level of funding for the award.***

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

**To be eligible for an award, the applicant must submit all required information and documents in its application through [www.grants.gov](http://www.grants.gov) including the requirements found in any attachments to this funding opportunity.** This NOFO consists of the following Sections:

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This funding opportunity is posted on [www.grants.gov](http://www.grants.gov) and may be amended. See Section IV for further details. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download the most updated version of the Adobe program to their computers in order to view and save the Adobe forms properly. If you have difficulty registering on [www.grants.gov](http://www.grants.gov) or accessing the NOFO, please contact the [www.grants.gov](http://www.grants.gov) helpdesk at: 1-800-518-4726, International callers: 1-606-545-5035, or via email at [support@grants.gov](mailto:support@grants.gov) for technical assistance. You may also obtain online assistance at: <https://www.grants.gov/web/grants/applicants/applicant-faqs.html> or [https://www.grants.gov/help/html/help/GetStarted/Get\\_Started.htm](https://www.grants.gov/help/html/help/GetStarted/Get_Started.htm).

It is the responsibility of the recipient of this NOFO document to ensure that it has been received from [www.grants.gov](http://www.grants.gov) in its entirety. INL bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Any questions concerning this NOFO should be submitted in writing to Damaris Thompson via email at [ThompsonDA@state.gov](mailto:ThompsonDA@state.gov). The deadline for submission of questions for this NOFO is April 15, 2018, 11:59 PM Eastern Time. Responses to questions will be made available to all

potential applicants as an attachment to this NOFO and posted on [www.grants.gov](http://www.grants.gov) .

Issuance of this NOFO does not constitute an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal INL procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

## **SECTION I – PROGRAM DESCRIPTION**

### **BACKGROUND**

Wildlife trafficking and environmental crimes are lucrative forms of transnational organized crime (TOC) that have decimated populations of species, such as elephants, rhinos, pangolins, and more. Wildlife trafficking and environmental crimes fuel corruption, threaten the rule of law and peace and security, spread disease, and destabilize communities that depend on wildlife for biodiversity and eco-tourism revenues. Criminal organizations are increasingly involved in this illicit trade, especially the illegal movement of wildlife from source countries to demand countries, such as the movement of ivory from Africa to Asia. Traffickers exploit porous borders and weak institutions to profit from trading in illegal wildlife. Wildlife and wildlife products are transported through multilevel illicit networks of criminal intermediaries and government officials.

In 2013, the U.S. government established an interagency task force to address the problem of wildlife trafficking by identifying priority areas for interagency cooperation and action. The National Strategy for Combating Wildlife Trafficking was released in 2014, which led to the Implementation Plan for the National Strategy. The Plan focuses on strengthening law enforcement, reducing demand for trafficked wildlife and wildlife goods, and building international cooperation to combat wildlife trafficking (CWT). In 2016, Congress passed the Eliminate, Neutralize, and Disrupt (END) Wildlife Trafficking Act, which enshrines the role of the Task Force and its National Strategy and Implementation Plan. These commitments are reflected in the greatly increased amount of resources – human, technical, and financial – that we are devoting to target the problem of wildlife trafficking.

To advance the U.S. National Strategy for Combating Wildlife Trafficking and its associated implementation plan, INL aims to achieve specific objectives to reduce the poaching and trafficking of wildlife through effective programming at the national, regional, and international levels in key source, transit, and destination locations in Africa, Asia, and Latin America. INL aims to support host-nation investigatory and prosecutorial capacity in relation to wildlife crime to disrupt the higher level syndicates involved in wildlife trafficking.

INL leverages its unique foreign assistance authorities to contribute to the global fight against wildlife trafficking. Funds will support work that builds investigative and enforcement capacity and materials in Africa and Asia to combat wildlife crime.

### **PROJECT PURPOSE/DESCRIPTION**

INL plans to fund a program to leverage three Memorandums of Understanding (MOU) between Vietnam, Mozambique, and South Africa to establish trilateral cooperation to combat wildlife trafficking and bring about joint actions to dismantle the transnational networks that perpetrate these crimes. The three MOUs are as follows:

1. In 2017, the Governments of Vietnam and Mozambique entered into an MOU to strengthen cooperation on prosecutions and the fight against organized transnational crime, including the prevention of and fighting illicit exploitation, transport, and trading

of protected species of terrestrial and aquatic flora and fauna. Areas for cooperation include:

- Training to improve prosecutorial skills
  - Exchanging legal documents and law enforcement systems
  - Best practices on enforcement
  - Preventing and fighting illicit activities in protected species
  - Other forms of cooperation on the basis of common interests and mutual agreement
2. In 2012, the Governments of Vietnam and South Africa entered into an MOU to promote cooperation in the fields of biodiversity, management, conservation, protection, law enforcement, and compliance with CITES. Areas for cooperation include:
- Biodiversity management, conservation, and protection
  - Compliance with CITES and other relevant internationally binding conventions
  - Forestry and biodiversity law enforcement and compliance
  - Strengthening and cooperating on the above through exchange of information, best practices, and research
  - Technology use, transfer, and development
  - Natural resources management, wildlife trade, protected areas management, community development, and sustainable livelihoods
  - Other areas related to the objective and agreed upon by both parties
3. In 2014 the Governments of Mozambique and South Africa entered into an MOU to promote cooperation in the fields of biodiversity, management, conservation, protection, law enforcement, and compliance with CITES. Areas of cooperation include:
- Exchange of relevant information and documents on the protection and conservation of biodiversity, enforcement, and compliance with the law
  - Visits of delegations and experts
  - Joint organization of seminars, workshops, and meetings with the participation, of scientists, experts, regulators, legislators, and stakeholders
  - Establishment of implementation frameworks for areas of cooperation
  - Other forms of cooperation as mutually agreed upon by the parties

A cooperative effort to target the criminal linkages between these three countries is crucial to dismantling the transnational organized crime groups who traffic in wildlife products, most significantly rhino horn. Over 1,000 rhinos are poached in South Africa every year, dealing a significant blow to a country that hosts 80% of the world's remaining rhino population. Transnational Criminal Organizations (TCO) exploit porous borders, limited enforcement capacity, and high levels of corruption to transit rhino horns from South Africa to Southeast Asia. Mozambique and Vietnam are both major transit countries, and Vietnam is also a destination country.

The program should leverage the existing MOUs to catalyze trilateral cooperation to combat wildlife crime. The program should encourage and assist governments to engage in activities outlined in their MOUs to counter wildlife crime and promote continued cooperation and engagement to combat the illegal wildlife trade.

The program should encourage the signatory governments to collaborate and coordinate on investigations and prosecutions. The program should improve trilateral cooperation on combating wildlife trafficking by improving communication mechanisms, enhancing information exchanges, and improving existing legal cooperative mechanisms. Activities should bring together various stakeholders including law enforcement officials, prosecutors, customs authorities, legislators, etc. to develop mechanisms to work more closely together when seizures or investigations are conducted. The applicant should improve the sharing of evidence and seizure samples for DNA sampling by putting formal channels and procedures in place that make it easier to share evidence between the target countries.

This program requires close collaboration and trust between the grantee and the Governments of Vietnam, Mozambique, and South Africa. Proposals, therefore, must demonstrate an on-going relationship with senior officials in the national governments and host country buy-in for all three countries for each of the specified activities. Applicants are encouraged to form a consortium with other local or international organizations with strong relationships with target governments to ensure the best partners are identified for each country, resulting in the highest level of success of the project. INL will prioritize proposals with the highest demonstrated government buy-in.

## **PROJECT GOALS**

Leverage three MOUs between Vietnam, Mozambique, and South Africa to establish trilateral cooperation to combat wildlife trafficking and bring about joint action to dismantle the transnational networks that perpetrate these crimes.

## **PROJECT OBJECTIVES**

**Objective 1:** Establish trilateral cooperation between the Governments of Vietnam, Mozambique, and South Africa to investigate and prosecute wildlife crimes.

Through this objective, the grantee should encourage target countries to operationalize their MOUs collectively, and work to integrate them into a trilateral network to combat wildlife trafficking. Applicant should work with customs, police, and prosecutors from the target countries to collaborate on joint investigations to target the entire illicit supply chain. Applicant should also assist target countries to put together an implementation plan that will establish a framework, agenda, and schedule in service of the MOUs. When possible, the applicant should provide technical assistance on transnational investigations and serve as an active broker between countries once trust is established. Possible activities include the secondment of technical advisors, hosting joint meetings to discuss ongoing investigations and cases, and exchange of law enforcement attaches.

**Objective 2:** Enhance information sharing between the Governments of Vietnam, Mozambique, and South Africa.

This objective seeks to build networks between government officials, law

enforcement, customs, prosecutors, and other stakeholders from the three target countries. Activities should seek to partner equivalent agencies and encourage active communication and information sharing. Officials should be encouraged to share best practices, relevant national laws and procedures, and case information as appropriate. The program should also develop and institutionalize formal communication mechanisms that will further entrench bilateral and trilateral communication and cooperation. The program should also mitigate cultural and political barriers to communication through activities such as the establishment of a joint action plan to operationalize the MOUs, the provision of translation services, etc. Other possible interventions activities include the establishment of formal communication mechanisms, hosting joint training workshops, seminars, and meetings, and other activities mentioned in the various MOUs that build informal relationships and trust between national agencies.

**Objective 3:** Seek closer cooperation by strengthening and improving existing legal coordinating mechanisms.

The grantee should identify other areas of cooperation that are not explicitly stated in the existing agreements and encourage target countries to amend MOUs as necessary. The grantee should also encourage countries to strengthen the cooperative mechanisms by establishing MLATs or other agreements where possible.

## **CROSS-CUTTING AND ADDITIONAL ACTIVITIES**

### **1. Coordination and De-conflicting of Projects**

Where other organizations are conducting similar programming, we encourage collaboration, coordination, and de-conflicting of projects to maximize impact. Include in the proposal a description of any similar work you have performed on this topic and if there is overlap specifically with this program. If there is overlap, explain how this previous work will support the projects outlined in this NOFO. Demonstrate understanding of other organizations working in the country on this issue and how your program will complement and coordinate with theirs.

### **2. Utilize Local Resources and Expertise**

INL values involving local community experts to help conduct programming, since their knowledge of the local wildlife trafficking and persons involved in the illegal trade will strengthen the program's outcomes. We encourage collaborating with and using local resources and experts in the region when possible.

### **3. Program Expansion**

In the event of a successful project, INL will consider the option of extending the program to future years, 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 further activities in future years. Applicants are strongly encouraged to demonstrate how their project might leverage funding through other organizations.

## TARGET POPULATION

Applicants should identify target audiences, specific demographics, and the region(s) in which the project will be implemented. It is particularly important to specify the approximate number of beneficiaries to be directly and indirectly impacted by project activities.

## DESIRED RESULTS AND ILLUSTRATIVE INDICATORS

By the end of the project, the selected applicant is expected to leverage three MOUs between Vietnam, Mozambique, and South Africa to establish trilateral cooperation to combat wildlife trafficking.

The recipient shall propose outcomes, outputs, indicators, and/or targets to achieve the anticipated results. INL must approve all of the recipient's proposed outcomes, outputs, indicators, and/or targets.

Example outcome indicators for the project are provided below. The recipient should identify outcome indicators and targets based on what it can reasonably achieve within the performance period of the project and in an environment of corruption, and based on the expected overall project results described above.

| <b><i>Example Outcome Indicators</i></b>                                        | <b><i>Targets:</i></b> |
|---------------------------------------------------------------------------------|------------------------|
| Established trilateral cooperation between Mozambique, South Africa and Vietnam | TBD                    |
| Enhanced information-sharing between target countries                           | TBD                    |
| Improved trilateral cooperation on investigations and prosecutions              | TBD                    |
| Strengthened existing legal cooperative mechanisms                              | TBD                    |

Example output indicators and targets for the project are provided below. The recipient should identify output indicators and targets based on what it can reasonably achieve within the performance period of the project, and based on the outcomes described above.

| <b><i>Example Output Indicators</i></b>                                                     | <b><i>Targets:</i></b> |
|---------------------------------------------------------------------------------------------|------------------------|
| Number of training or coordination workshops supported                                      | TBD                    |
| Evidence of high-level commitment to address wildlife trafficking from government officials | TBD                    |
| Number of wildlife law enforcement operations involving two or more countries               | TBD                    |
| Other output indicators, as identified by the applicant                                     | TBD                    |

The recipient will be required to collect baseline data for all the indicators during the first year of the project. In addition, certain terms included in the outcomes and indicators will need to be defined at the very beginning of the project so that it is possible to measure the change during and at the end of the project. Baseline information will be critical for both monitoring and evaluation

of project progress and results.

**[END OF SECTION I]**

## SECTION II – FEDERAL AWARD INFORMATION

INL expects to award one (1) grant agreement for the full funding amount based on this NOFO, but may award up to three (3) grant agreements that, when combined, total the full funding amount for this NOFO. The anticipated total federal funding amount will not exceed \$1,000,000. The period of performance is up to two (2) years with an anticipated start date of October 2018. INL may extend the award up to two additional years contingent on INL priorities, good performance of the recipient, Department of State management approval, and funding availability.

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

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

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

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

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

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

**Information needed:** Full name, date of birth, country of birth, country of citizenship, gender,

rank, title, and organizational affiliation. Please also include the activity and date that the activity will take place—if the person will participate throughout an extended program, please note the timeframe. Participant information should be submitted in the format attached.

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

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

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

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

**[END OF SECTION II]**

## SECTION III – ELIGIBILITY INFORMATION

Eligibility for this NOFO is limited to:

- Applicants that qualify to receive U.S. grants, such as **U.S. not-for-profit/non-governmental organizations (NGOs) or U.S. based educational institutions subject to section 501(c)(3) of the U.S. tax code; foreign not-for-profits/non-governmental organizations (NGOs) or foreign based educational institutions**, with the ability to develop and successfully implement a program in Vietnam, South Africa, and Mozambique and meet INL's reporting requirements.
- Organizations must also be able to demonstrate current country registration in Vietnam, South Africa, and Mozambique, as required by the host country.
- Organizations must also demonstrate support from Vietnam, Mozambique, and South Africa for the program activities
- Organizations must either be headquartered in South Africa, Vietnam, or Mozambique or, if an international NGO, maintain an office in South Africa and Mozambique.

### **AND**

- Applicants must have demonstrated experience implementing similar education or capacity building programs, preferably in Vietnam, South Africa, and Mozambique. INL reserves the right to request additional background information on organizations that do not have previous experience administering similar programs and/or federal grant awards.
- Applicants must have the ability to produce course materials, deliver training, and conduct evaluations in Vietnamese, Portuguese, and English. The applicant's staff should be proficient in English, in order to fulfill reporting requirements.
- Applicants must have existing, or the capacity to develop, active partnerships with stakeholders in order to successfully carry out the proposed program.
- Organizations may form a consortium and submit a combined proposal. However, one organization should be designated as the lead applicant.
- Applicants must be able to respond to the NOFO and be able to mobilize in a short period of time.

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

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

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

INL encourages applications from potential new partners.

**[END OF SECTION III]**

## SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS

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

### **Important Note:**

**Organizations physically located OUTSIDE of the U.S. and territories and wishing to conduct business (contracts/grants) with the U.S. Government, must FIRST request a NCAGE Code, followed by a DUNS Number and then complete registration process in SAM.gov.**

U.S. based Organizations, wishing to conduct business (contracts/grants) with the U.S. Government to include Foreign Government, please proceed directly to SAM.gov. A U.S. CAGE Code will be assigned at the end of the SAM.gov Registration process.

### **CAGE/NCAGE Registration**

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

NCAGE Codes are required for all foreign entities prior to starting a SAM registration. **PLEASE NOTE: The organization's name, address, and email information must match what you used to request your Unique Entity Identifier (DUNS Number) Please ensure that alphabets, numerical characters, symbols, etc. and spacing is the same in both systems during the registration process.**

Otherwise, you will receive error messages when applying for the NCAGE code. Organizations can submit a request for an NCAGE Code using the NCAGE Request Tool at <https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf>. Detailed instructions are posted at that site. For additional information, please call 1-269-961-4623 or send an email message to [NCAGE@dliis.dla.mil](mailto:NCAGE@dliis.dla.mil).

**NCAGE registrations for overseas organizations can take up to 10 days (or more) to finalize once a request has been received. Please plan accordingly.**

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

All applicant organizations (foreign and domestic) must obtain a DUNS number. **US-based organizations** may request a DUNS number by calling 1-866-705-5711 or email: [SAMHelp@dnb.com](mailto:SAMHelp@dnb.com); the DUNS number is usually provided immediately.

**Foreign organizations** that do not have a Unique Entity Identifier (DUNS number) will need to go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform/CCRSearch.do?val=1> to start the process for obtaining a DUNS number. *If further assistance is required, please email: [SAMHelp@dnb.com](mailto:SAMHelp@dnb.com).* **NOTE: The organization's name, address, and email information used to request the NCAGE Code must match what is used to request your Unique Entity Identifier**

**(DUNS Number). Please ensure that alphabets, numerical characters, symbols, etc. and spacing is the same in both systems during the registration process.**

### **SAM.gov Registration**

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

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

Foreign organizations **must** have a DUNS number and an NCAGE code prior to completing the SAM.gov registration process. Please follow the above listed instructions to obtain each.

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

### **Grants.gov Registration**

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

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

### **SAMS Domestic Registration**

Users who had a GrantSolutions account and were assigned to an award in GrantSolutions will already have an account set up for them in SAMS Domestic and will need to unlock their account. All other applicants will need to create an account for the first time. Applicants using the SAMS

Domestic Portal for the first time should complete their user registration as soon as possible. This process must be completed before an application can be submitted through SAMS Domestic.

For GrantSolutions users who had an account transferred to SAMS Domestic: Users who already have a SAMS Domestic account and need to activate their accounts must log in directly to SAMS Domestic <https://mygrants.service-now.com> and click on the “Forgot Password?” link. The username and email address will be the same as in GrantSolutions. A confirmation email will be sent once the account has been created. If users are experiencing difficulties with the registration process, please contact ILMS Support at 1-888-313-4567 or log a ticket via the ILMS Self Service Portal at: <https://afsitsm.service-now.com/ilms/home>.

To register for the first time, log in directly to SAMS Domestic <https://mygrants.service-now.com> and click on the link “Create an Account” on the homepage. Users will then complete the form with the requested information and click “submit.” A confirmation email will be sent once the account has been created. If users are experiencing difficulties obtaining a user login and completing the registration process, please contact ILMS Support at 1-888-313-4567 or log a ticket via the ILMS Self Service Portal at: <https://afsitsm.service-now.com/ilms/home>.

## TECHNICAL FORMAT REQUIREMENTS

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

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

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

- 1. Completed and signed SF-424, SF-424A, and SF424B, submitted via [www.grants.gov](http://www.grants.gov), as well as, if applicable (*Please see Tab D for instructions for completion of Standard Forms 424, 424A, and 424B.*)
- 2. A copy of your organization’s **most recent audit (as required per 2 CFR 200.500 – Subpart F)**. **If an audit cannot be provided, an explanation must be submitted with the proposal submission.**
- 3. **Cover Page** that sets forth proposal title, name of lead applicant, names of any other participating organizations, name and number of the Target Themes to which the proposal responds, and requested funding amount in U.S. dollars (see the award amount ceiling as stated in the NOFO).
- 4. **Table of Contents** (not to exceed one [1] page in Microsoft Word) that includes a page-numbered contents page, including any attachments.
- 5. **Executive Summary** (not to exceed two [2] pages in Microsoft Word) that includes:
  - a) the target country or countries,
  - b) name and contact information for the program’s main point of contact,
  - c) a statement of work or synopsis of the program, including a concise breakdown of the program’s objectives, activities, and expected results,
  - d) the total amount of funding requested and program length, and

- e) a brief statement on how the program is innovative, sustainable, and will have a demonstrated impact.
6. **Proposal Narrative** (not to exceed fifteen [15] pages in Microsoft Word). Please note the page limit **does not** include the required documents listed in items #2 - 5 and items #7 – 16 (below).
  7. **Summary and Detailed Line-Item Budget** (in Microsoft Excel) that includes three [3] columns including the request to INL, any cost sharing contribution, and total budget (see below for more information on budget format). A summary budget should also be included using the OMB approved budget categories (see SF-424 as a sample). Costs must be in U.S. dollars. (Sample template is provided as an attachment under the announcement via [www.grants.gov](http://www.grants.gov).)
  8. **Budget Narrative** (in Microsoft Word) that includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, INL recommends applicants order the budget narrative as presented in the detailed budget. Personnel costs should include a clarification of the roles and responsibilities of key staff and percentage of time devoted to the program. The budget narrative should communicate to INL any information that might not be readily apparent in the budget, not simply repeat with words what is stated numerically in the budget. (Sample template is provided as an attachment under the announcement via [www.grants.gov](http://www.grants.gov).)
  9. **NICRA:** If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, your latest NICRA must be included as a .pdf file. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding and therefore does not count against the submission page limitations, as described above. If your proposal involves subgrants to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file (see “INDIRECT COST RATE” below for more information on indirect cost rates).  
If your organization does NOT have a negotiated indirect cost rate agreement (NICRA) please specify if your organization elects to charge the de minimis rate of 10% of the modified total direct costs. The de minimis rate must be included in the detailed budget and an explanation must be provided in the budget narrative.
  10. **Monitoring and Evaluation Plan and/or Logic Model;** (See **TAB B** below for more information on this section.) Sample templates provided as attachments under the announcement via [www.grants.gov](http://www.grants.gov).
  11. **Roles and responsibilities of key program personnel with short bios** that highlight relevant professional experience. This relates to the organization’s capacity. Given the limited space, CVs are not recommended for submission.
  12. **Timeline of the overall proposal:** Components should include activities, evaluation efforts, and program closeout
  13. **A list of previous and/or current federal assistance awards received:** Include the awarding agency, point of contact, name of the program, start and end dates, and amount of the award.
  14. **Program Risk Analysis:** Provide the required risk analysis information as noted in **TAB B** of this NOFO. (Sample template is provided as an attachment under the announcement via [www.grants.gov](http://www.grants.gov).)
  15. **INL Pre Award Annual Survey:** Template provided by INL that reviews the organization’s financial capacity and infrastructure. (Sample template is provided as an attachment under the announcement via [www.grants.gov](http://www.grants.gov).)
  16. **Attachments:** (not to exceed **five (5)** pages total, preferably in Microsoft Word) Attachments may include further timeline information, letters of support, memoranda of understanding (MOU)/agreement, etc. For applicants with a large number of letters/MOUs, it may be useful

to provide a list of the organizations or government agencies that support the program rather than the actual documentation.

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

## **ADDITIONAL INFORMATION**

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

Organizations should be familiar with 2 CFR 200 on cost accounting principles. For a copy of the OMB circular cited, please contact Government Publications or download from [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl). Overseas-based nonprofit organizations are legally required to comply with 2 CFR 200.

### **AUDITS**

**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;
- 4) A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of 2 CFR 200 subpart F. *The audit costs shall be identified by 2 CFR 200.435.*

### **INDIRECT COST-RATE**

An organization with a negotiated indirect cost rate agreement (NICRA) negotiated with a cognizant federal government agency other than the U.S. Department of State must include a copy of the cost-rate agreement. Applicants should indicate in the proposal budget how the rate is applied and if any of the rate will be cost-shared. Per 2 CFR 200.414, any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC200.68 Modified Total Direct cost (MTDC) which may be used indefinitely. MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and sub-awards and sub-contracts up to the first \$25,000 of each sub-award or sub-contract (regardless of the period of performance of the sub-awards and sub-contracts under the award). ***MTDC excludes equipment (\$5,000 or greater), capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub-award and sub-contract in excess of \$25,000.*** 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.

**[END OF SECTION IV]**

## TAB A: PROPOSAL GUIDELINES

### Proposals should include the following components:

- Introduction and Problem Statement
- Planned Activities
- Indicators

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

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

| Planned Activity                                                                                                                                                                                        | Contingency                                                                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Energy efficiency workshops in collaboration with the government of Mexico and other representatives from the Latin America region, focused on raising awareness of energy efficiency standards.</i> | <i>If government of Mexico doesn't engage at the expected level, program team will look to other regional stakeholders, such as the OAS, to assist in convening key stakeholders.</i> |

In the proposal, there should be a clearly defined link between each of the following elements as delineated:

Problem Statement → Planned Activities/Inputs → Process Indicators → Output Indicators  
→ Outcome Indicators → Impact

**Process Indicators** measure the activity that has been completed. Please delineate the specific activities to be conducted, such as workshops, roundtables, trainings, forums, exchanges, policy dialogues, etc. All indicators must include targets. Example of a process indicator:

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

**Output Indicators**, otherwise known as deliverables associated with the agreement, should be included. Unlike process indicators, outputs are what is produced, and are often tangible. At this

level, it is the measurement of ability, knowledge, skills, or access. All indicators must include targets. Example of an output indicator involving the same participants:

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

**Outcome Indicators** measure the change in system or behavior or practice. Expected outcomes are the results that come from a series of activities that are necessary to achieve impact. All indicators must include targets. Example of an outcome indicator:

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

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

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

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

- Setting objectives that are specific, measurable, attainable, results-focused, and placed in a reasonable time frame (SMART);
- Linking program activities to stated objectives; and
- Developing key performance indicators that measure realistic progress towards the objectives.

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

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

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

- Indicators, as described in Tab A, as well as details on how each indicator will be measured, frequency of the measurements, units of measure, etc. Provide indicators at the output and outcome levels. Monitoring and evaluation plans should include a chart component that clearly delineates indicators and targets. All indicators must include measurable, numerical targets.
- Establish, where possible, performance baseline data and expected performance targets for each indicator/outcome. In some cases, the baseline may be zero.
- Describe monitoring and evaluation tools, such as rapid assessment surveys, site visits, key stakeholder interviews, etc., that will be used.
- Plans should describe how the program's impact and effectiveness will be monitored and evaluated throughout the program.

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

### **PROGRAM RISK ANALYSIS**

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

considered a one-time exercise or a static document. INL defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a program and should result in revisions to risk analysis documents and processes as necessary. Applicants should include all assumptions and external factors identified in the logic model in the risk analysis. Applicants should rate the likelihood of a risk and potential impact of the risk as “High,” “Medium,” or “Low.” A sample template is provided as an attachment to this NOFO via [www.grants.gov](http://www.grants.gov).

## TAB C: 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 program funding. Complete applications will include a budget narrative to clarify and justify individual line-items (i.e., calculations of how the costs were derived per month or year, their necessity, and overall contribution to the program's cost-effectiveness).

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

|                                                          |                       | INL Request | Cost Share | Total |
|----------------------------------------------------------|-----------------------|-------------|------------|-------|
| <b>A. PERSONNEL</b>                                      |                       |             |            |       |
| a) Primarily Headquarters-Based Personnel                |                       |             |            |       |
| -H.Q.-based project -dedicated staff salary (X months)   | X% of \$X/yr          |             |            |       |
| -H.Q.-based administrative staff salary (X months)       | X% of \$X/yr          |             |            |       |
| b) Primarily Field-Based Personnel                       |                       |             |            |       |
| -Field-based Country Director salary (x months or year)  | X% of \$X/yr          |             |            |       |
| -Field-based Program Assistant salary (x months or year) | X% of \$X/yr          |             |            |       |
| <b>Subtotal Personnel</b>                                |                       |             |            |       |
| <b>B. FRINGE BENEFITS</b>                                |                       |             |            |       |
| a) Primarily H.Q.-Based Fringe Benefits                  | fringe=X% salary      |             |            |       |
| -H.Q.-based project -dedicated staff fringe (X months)   | X% fringe             |             |            |       |
| -H.Q.-based administrative staff fringe(X months)        | X% fringe             |             |            |       |
| b) Primarily Field-Based Fringe Benefits                 | fringe=X% salary      |             |            |       |
| -Field-based Country Director fringe (x months or year)  | X% fringe             |             |            |       |
| -Field-based Program Assistant fringe (x months or year) | X% fringe             |             |            |       |
| <b>Subtotal Fringe Benefits</b>                          |                       |             |            |       |
| <b>C. TRAVEL</b>                                         |                       |             |            |       |
| a) Monitoring Travel                                     |                       |             |            |       |
| -Monitoring Trip: H.Q. to field (X)                      | \$X/RT flight         |             |            |       |
| -Per diem (X days)                                       | \$X/day               |             |            |       |
| b) Field Travel                                          |                       |             |            |       |
| <u>Activity 1: Workshop</u>                              |                       |             |            |       |
| -Staff Travel (# staff)                                  | \$X/RT flight/# staff |             |            |       |
| -Staff Per Diem (X days)                                 | \$X/day/# day/# staff |             |            |       |
| -Participant Travel (# participants)                     | \$X/trip/# pax        |             |            |       |
| -Participant Per Diem (X days)                           | \$X/day/# day/# pax   |             |            |       |
| <u>Activity 2: Town Hall Meeting</u>                     |                       |             |            |       |
| -Staff Travel (# staff)                                  | \$X/RT flight/# staff |             |            |       |
| -Staff Per Diem (X days)                                 | \$X/day/# day/# staff |             |            |       |

|                                                       |                     |  |  |  |
|-------------------------------------------------------|---------------------|--|--|--|
| -Participant Travel (# participants)                  | \$X/trip/# pax      |  |  |  |
| -Participant Per Diem (X days)                        | \$X/day/# day/# pax |  |  |  |
| <b>Subtotal Travel</b>                                |                     |  |  |  |
| <b>D. EQUIPMENT</b>                                   |                     |  |  |  |
| a) Primarily H.Q.-Based Equipment (if applicable)     |                     |  |  |  |
| -H.Q.-equipment (if applicable)                       | \$X/unit            |  |  |  |
| d) Primarily Field-Based Equipment                    |                     |  |  |  |
| -Field-equipment                                      | \$X/unit            |  |  |  |
| <b>Subtotal Equipment</b>                             |                     |  |  |  |
| <b>E. SUPPLIES</b>                                    |                     |  |  |  |
| a) Primarily H.Q.-Based Supplies (if applicable)      |                     |  |  |  |
| -Printing and Photocopying (X months)                 | X% of \$X/yr        |  |  |  |
| b) Primarily Field-Based Supplies                     |                     |  |  |  |
| -Markers and dry erase board                          | \$X/set             |  |  |  |
| -Telephone (X months)                                 | X% of \$X/yr        |  |  |  |
| -Office Supplies (X months)                           | X% of \$X/yr        |  |  |  |
| <b>Subtotal Supplies</b>                              |                     |  |  |  |
| <b>F. CONTRACTUAL</b>                                 |                     |  |  |  |
| a) Subgrants                                          |                     |  |  |  |
| -Local Subgrantees (X subgrants)                      | \$X/unit            |  |  |  |
| b) Consultant Fees                                    |                     |  |  |  |
| -Media Specialist/Honoraria (X days/hours)            | \$X/consult         |  |  |  |
| -Independent M & E specialist                         | \$X/unit            |  |  |  |
| -Translation Fees (X pages)                           | \$X/page            |  |  |  |
| <b>Subtotal Contractual</b>                           |                     |  |  |  |
| <b>G. CONSTRUCTION</b>                                | <b>N/A</b>          |  |  |  |
| <b>H. OTHER</b>                                       |                     |  |  |  |
| a) Other Direct Costs                                 |                     |  |  |  |
| -Field Office Rent (X months)                         | X% of \$X/mo        |  |  |  |
| <b>Subtotal Other</b>                                 |                     |  |  |  |
| <b>I. TOTAL DIRECT CHARGES (Sum of A-H Subtotals)</b> |                     |  |  |  |
| <b>J. INDIRECT CHARGES</b>                            |                     |  |  |  |
| a) Indirect Costs/NICRA (X% of costs)                 |                     |  |  |  |
| <b>Subtotal Indirect Charges</b>                      |                     |  |  |  |
| <b>K. TOTAL COSTS (Sum I-J)</b>                       |                     |  |  |  |

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

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

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

## LINE-ITEM BUDGET NARRATIVE

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

**B. Fringe Benefits** – State benefit costs separately from salary costs and explain how benefits are computed for each category of employee - specify type and rate. Fringe benefit application must be consistent with organization's written policy.

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

- 1) International and/or domestic airfare: Please indicate origin and destination (country/city), number of travelers and unit cost per round trip.
  - NOTE: All travel must be booked with economy class fares only. Applicants must explain differences in fares among travelers on the same routes. Note that all travel, where applicable, must comply with the Fly America Act. For more information see <http://www.gsa.gov/portal/content/103191>.
- 2) In-country travel: Please indicate origin and destination (city), type of transportation, number of travelers and unit cost per traveler per trip.
- 3) Per diem/maintenance: Includes lodging, meals, and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: <http://www.policyworks.gov/>. Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.
  - NOTE: Per diem rates must be prorated and/or removed if applicant will pay for refreshments and/or meals for participants during a workshop/conference.

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

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

**F. Contractual** –

- 1) Subgrants: For each subgrant/contract please provide a detailed line-item budget breakdown explaining specific services. Please provide a subgrant budget using the approved OMB budget format. (See Tab C: Budget Guidelines, above.)
- 2) Consultant Fees: For example lecture fees, honoraria, travel, and per diem for outside speakers or independent evaluators: list number of people and rates per day (e.g., 2 x \$150/day x 2 days). Consultant/outside expert fees/honoraria should be consistent with the level of experience and based on a fair market value. (NOTE: *Consultant Fees and Honorarium should NOT EXCEED \$526/day*)

**G. Other Direct Costs** – These will vary depending on the nature of the project. The inclusion of each should be justified in the budget narrative. All costs must be allowable, allocable, and reasonable, and consistent with OMB guidelines. **Line items such as “Miscellaneous,” “Other,” “Contingency Fund,” and “Reserve Fund” are not permitted.**

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

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

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

## **BUDGET CONDITIONS AND RESTRICTIONS**

The Recipient is reminded that funds provided under this agreement must be used in a manner fully consistent with U.S. law. The recipient agrees that none of the funds provided by this award shall be used to lobby for or against abortion. The recipient agrees that none of the funds provided by this award shall be used to pay for the performance of abortion as a method of family planning or to motivate or coerce any person to practice abortions.

Per 22 CFR 200.307 ((e) (1), (2), and (3) of this section please note the following guidance concerning use of Program Income:

- Program income earned during the project period shall be retained by the recipient and, in accordance with the terms and conditions of the award, shall be used in one or more of the ways listed in the following:
  - 1) Added to funds committed to the project by the Department and recipient and used to further eligible project or program objectives.
  - 2) Used to finance the non-Federal share of the project or program.

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

INL will consider budgeted line-items for the following:

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

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

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

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

## TAB D: GUIDELINES FOR STANDARD FORMS

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

1. Type of Submission: *Application*
2. Type of Application: *New*
3. Date Received: *Leave blank. This will automatically be assigned*
4. Applicant Identifier: *Leave blank*
- 5a. Federal Entity Identifier: *Leave blank*
- 5b. Federal Award Identifier: *Leave blank*
6. Date Received by State: *Leave blank. This will automatically be assigned*
7. State Application Identified: *Leave blank. This will automatically be assigned*
- 8a. Enter the legal name of the applicant organization.
- 8b. Employer/Taxpayer ID Number: *(Non U.S. organizations leave blank)*
- 8c. Organizational DUNS: Organizations can request a DUNS number at  
<http://fedgov.dnb.com/webform>
- 8d. Enter the full address of the applicant
- 8e. Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable
- 8f. Enter the name, title, organization, and contact information of person to be contacted on matters involving this application
9. Select an applicant type (type of organization)
10. Enter: *Department of State*
11. Enter: the CFDA number is *19.705*
12. Enter the Funding Opportunity Number and title. For grants.gov, the info must be provided here.
13. Enter the Competition Identification Number and title. For grants.gov, leave blank.
14. Areas Affected by Project: *List the country or countries where project activities will take place in alphabetical order; for projects that will take place in more than one region enter “Global.”*
15. Enter the title of the proposed project (if necessary, delete pre-printed wording)
- 16a. Enter congressional district of Applicant. *(foreign applicants please enter “90.”)*
- 16b. Enter: *(foreign applicants, please enter “00”)*
- Program: *Leave blank*
17. Enter a start date and a projected end date
18. Enter the amount requested for the project under “Federal”  
(18a); enter any cost-share under “Applicant” (18b).
19. Enter “c”
20. Select the appropriate box. If you answer “yes” to this question you will be required to provide an explanation.
21. Enter the name, title, and contact information of the individual authorized to sign for the application.

**[END OF SECTION IV]**

## SECTION V – APPLICATION REVIEW INFORMATION

The technical applications and proposal submissions will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

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

### I. TECHNICAL EVALUATION CRITERIA

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

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

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

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

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

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

- Includes a clear articulation of how the proposed program activities contribute to the overall program objectives (4)
- Each activity is clearly developed and detailed (4)
- Provides a comprehensive quarterly work plan for project activities that demonstrates substantive undertakings within the logistical capacity of the organization (3)
- Objectives are clear, specific, attainable, measurable results-focused and placed in a reasonable time frame (3)
- Addresses how the program will engage or obtain support from relevant stakeholders and identifies local partners where appropriate (5)

- Describes the division of labor among the direct applicant, any partners, and any potential subgrantees (2)
- Proposal clearly articulates understanding of the security situation/operating environment and plans for ensuring safety of participants (2)
- Includes contingency plans for potential difficulties in executing the original work plan (2)

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

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

**Program Monitoring and Evaluation (Total Possible Points - 15):**

The Monitoring and Evaluation (M&E) Plan includes:

- Narrative explaining how monitoring and evaluation will be carried out and who will be responsible for monitoring and evaluation activities (5)
- Table listing by program objectives the output- and outcome-based performance indicators with baselines and (yearly and cumulative) targets; data collection tools; data sources; types of data disaggregation, if applicable; and frequency of monitoring and evaluation (7)
- Includes an external midterm and/or final evaluation or justification for why one is not included (3)

**Multiplier Effect/Sustainability of Impact Rating (Total Possible Points - 10):**

- Clearly delineates how elements of the program will have a multiplier effect (5)
- Clearly delineates how impact will be sustainable beyond the life of the grant (5)

**Institution's Record and Capacity Rating (Total Possible Points - 10):**

- The proposal demonstrates an institutional record of successful programs in the proposed country and the content area (4)
- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives (2)
- Roles, responsibilities, and brief bios/resumes are included for primary staff, and demonstrate relevant professional experience (2)
- Applicant is a current/past Department of State grantee where performance (2) was/is on target showed/shows responsible fiscal management

**OR**

- The proposal is from a NEW APPLICANT and proposal demonstrates capacity for responsible fiscal management illustrates success in similar sized projects (2)

**COST EVALUATION**

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

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

**[END OF SECTION V]**

## SECTION VI – FEDERAL AWARD ADMINISTRATION INFORMATION

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

**Terms and Conditions:** Recipients will be held to the applicable terms and conditions found at <https://www.state.gov/documents/organization/271865.pdf>. It is the Recipient's responsibility to ensure they are in compliance with all applicable terms, conditions, and OMB guidance and requirements. Those organizations found to be in non-compliance may be found ineligible for future funding or designated high risk.

**2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards:** All applicants must adhere to the regulations found in [2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards](#).

**Branding Requirements:** As a condition of receipt of a grant award, all materials produced pursuant to the award, including training materials, materials for recipients or materials to communicate or promote with foreign audiences a program, event, project, or some other activity under an agreement, including but not limited to invitations to events, press materials, and backdrops, podium signs, etc. must be marked appropriately with the standard, rectangular U.S. flag in a size and prominence equal to (or greater than) any other logo or identity. **Note:** Exceptions to the branding requirement are allowable under certain conditions. If an applicant is notified that their award has been chosen for funding, the Grants Officer will determine, in consultation with the applicant, if an exception is applicable.

### Reporting Requirements:

1. Recipients are required to submit quarterly program progress and financial reports throughout the project period. Progress (SF-PPR and narrative) and financial reports (SF-424 and a detailed financial expenditure report) are due 30 days after the reporting period. Final certified programmatic and financial reports are due 90 days after the close of the project period.
  - First Quarter (October 1 – December 31): Report due by January 30
  - Second Quarter (January 1 – March 31): Report due by April 30
  - Third Quarter (April 1 – June 30): Report due by July 30
  - Fourth Quarter (July 1 – September 30): Report due by October 30

All reports are to be submitted electronically via email to the Grants Officer and Grants Officer Representative noted in the award agreement.

2. Awardees that are deemed to be high risk may be required to submit more extensive and frequent reports until their high risk designation has been removed by the Grants Officer.

3. The Awardee must provide to INL an inventory of all the U.S. government provided equipment purchased with grant funds using the SF428 form on an annual basis.

**[END OF SECTION VI]**

## **SECTION VII – AGENCY CONTACTS**

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

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

**[END OF SECTION VII]**