

**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:	Combat Wildlife Trafficking in Brazil
NOFO Opportunity Number:	SFOP0005548
Catalog of Federal Domestic Assistance (CFDA) Number:	19.705 – Transnational Crime
Funding Amount:	Not to exceed the total amount of \$750,000 U.S. dollars
NOFO Issuance Date:	January 29, 2019
Deadline for Receipt of Questions:	February 28, 2019 at 5:00 PM Eastern Standard Time
Closing Date and Time for Submission of Applications:	March 29, 2019 at 11:59 PM Eastern Time via www.grants.gov
Program Type:	INL/C Wildlife Trafficking
Grant Program:	INL/C Program to Combat Wildlife Trafficking
Assistance Type:	Grant
Eligibility Category:	U.S. or overseas-based non-profit/non-governmental organizations (NGOs) having a 501(c)(3) status with the IRS. See complete eligibility criteria below.
Applicant Type:	NGOs only
Award Ceiling:	\$750,000
Award Floor:	\$300,000
Cost Sharing Requirement:	Not required but recommended

EXECUTIVE SUMMARY

The mission of the U.S. Department of State'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, 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 U.S. Government (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, including drug trafficking. The Bureau's priority programs support three inter-related objectives:

- **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks on the United States and its allies through enhanced international cooperation and foreign assistance;
- **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; and
- **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.

NOTICE OF FUNDING OPPORTUNITY

INL is seeking applications from qualified non-governmental/non-profit organizations (NGOs) for a grant to implement a program entitled "Combat Wildlife Trafficking in Brazil." The authority for this Notice of Funding Opportunity (NOFO) is 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 direct and indirect reasonable, allocable, and allowable expenses, however, that 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) may be paid under the grant agreement. NOTE: Overseas-based nonprofit organizations are legally required to comply with 2 CFR 200.

Subject to the availability of funds and pending Department of State management approvals, INL intends to issue an award in an amount not to exceed \$750,000 in total funding. The U.S. dollar amount will be funded from INL allocated funds, for an initial program period of two years. INL may award up to three 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 number of applications, or none of the applications submitted, and will determine the resulting level of funding for each award(s).

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 through www.grants.gov, including the requirements found in the 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 (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 to view and save the Adobe forms properly. If you have difficulty registering on Grants.gov or accessing

the NOFO, contact the Grants.gov Help Desk for technical assistance:

- Domestic callers: 1-800-518-4726,
- International callers: 1-606-545-5035, or
- Via email at support@grants.gov.

The Help Desk is available 24 hours a day, seven days a week (except U.S. federal holidays).

For a list of U.S. federal holidays, visit: <https://www.opm.gov/policy-data-oversight/snow-dismissal-procedures/federal-holidays/>.

You may also obtain online assistance with Grants.gov at:

- <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>
- <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

Submit any questions concerning this NOFO via email to INL-C-WLT@state.gov and Najar Washington at WashingtonND@state.gov. The deadline for submission of questions for this NOFO is February 28, 2019 at 5:00 PM Eastern Standard Time. Responses to questions will be made available to all potential applicants as an attachment to this NOFO and posted on Grants.gov.

INL encourages applicants to submit their applications during normal business hours (Monday – Friday, 9:00AM – 5:00PM Eastern Time). If an applicant experiences technical difficulties and has contacted the Help Desk, but is not receiving timely assistance (e.g., if you have not received a response within 48 hours of contacting the Help Desk or are experiencing technical issues that may result in a late submission), you may email the INL point of contact listed in this NOFO. The INL point of contact may assist in contacting the Help Desk, but an applicant should also document their efforts to contact the Help Desk.

Applicants experiencing technical difficulties should follow these three steps:

- 1) Contact the Help Desk for Grants.gov immediately.
- 2) Document (including screenshots) technical issues AND efforts to contact the Help Desk. Save ticket number(s) and/or reference number(s) provided by the Help Desk in order to assist with the technical issue(s).
- 3) If there are continued difficulties submitting documents via Grants.gov, email all of the required documents to the INL point of contact listed in this NOFO ***before*** the application deadline.

Note: The INL Grants Officer will determine the technical eligibility of all applications and allowability of acceptable proposal submissions if applicants experience technical difficulties without a resolution.

It is the responsibility of the recipient of this NOFO to ensure that Grants.gov receives the entire application package. **INL bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic or late submissions.**

Issuance of this NOFO neither constitutes an award commitment on the part of the U.S. government, nor commits 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, 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 Latin America, Asia, and Africa.

The U.S. Mission in Brazil's strategy to combat wildlife trafficking focuses on three strategic priorities: strengthening enforcement, reducing demand for illegally traded wildlife, and expanding international cooperation and commitment. The Brazilian government, donors, and civil society have traditionally focused on environmental crimes other than wildlife trafficking, such as illegal logging and small-scale mining operations, both of which cause significant levels of deforestation and water pollution. The same enforcement agencies are also responsible for combating wildlife trafficking. Brazilian laws to combat wildlife trafficking exist, but clear objectives or activities to address wildlife trafficking remain to be developed.

To support further progress in Latin America, the U.S. Department of State has allocated up to \$750,000 USD in FY 2018 INCLE funds for work that strengthens legislative frameworks to prosecute and prevent crimes, builds investigative and enforcement capacity, provides judicial and prosecutorial assistance, and develops capacity for cross-border and transcontinental law enforcement cooperation.

PROGRAM PURPOSE/DESCRIPTION

INL seeks to fund a program that builds Brazil's capacity to deter, detect, investigate, prosecute, and adjudicate wildlife poaching and trafficking cases. The scope includes the facilitative financial crimes (e.g., money laundering and corruption) that enable poaching and trafficking networks. Proposals should identify gaps, determine strategies to address those gaps, and if applicable, build upon existing and previous efforts in countries. INL also will consider promising and innovative pilot projects.

A program may encompass training, mentoring, and technical assistance for law enforcement, prosecutors, judges, financial intelligence units, policymakers, and administrative officers; it may target regulatory and legislative responses, specific aspects of the relevant administrative agencies, patrol, investigation, prosecution or judicial process, and specific geographic regions and industries.

INL encourages proposals that include activities designed to improve the capacity of Brazil as a source, transit, and demand country to investigate, arrest, prosecute, convict, and sentence to the fullest extent of the law the criminal organizations that perpetrate wildlife crime, with a focus on the leaders and mid-level members of criminal organizations.

The proposed program should be detailed in its approach, implementation plan, partners, and geographic regions. A program should be sustainable. Efforts should be made to provide long-term mentors to reinforce knowledge acquired during training and to promote training of trainers and sustainability of training efforts.

Efforts should be made to implement activities in underserved areas where poaching occurs and along trafficking routes.

INL will give preference to those organizations 1.) with current operations and staff in Brazil; or 2.) those who partner with at least one other NGO with resident staff in Brazil. When possible, INL encourages close cooperation and synergies among NGOs working in the same area.

INL has allocated up to \$750,000 in FY 2018 International Narcotics Control and Law Enforcement (INCLE) funds for this program in Brazil.

The proposal should address one or more of the following objectives. Proposals may encompass any or all of the objectives. Corresponding activities are included only as a reference and applicants may propose other innovative solutions.

PROGRAM GOALS

To reduce poaching and trafficking of protected wildlife and their parts originating from, transiting through, and/or sold in Brazil.

PROGRAM OBJECTIVES

Objective 1: Enhance and promote legislative and regulatory frameworks to combat wildlife trafficking and related illegal activities.

Activities may include, but are not limited to:

- Strengthening Brazilian legislation, penal codes, and legal frameworks relevant to wildlife trafficking and other related illegal activities such as corruption and money laundering, that comply with international law, including CITES, foster cross-border cooperation, and ensure effective legal deterrents to committing wildlife crimes (e.g., adequate financial penalties and sentences).
- Increasing awareness about policy, legislation, and regulation among Brazilian authorities and the public to ensure knowledge of laws and to promote the investigation and prosecution of those who engage in wildlife and related crime and the imposition of adequate penalties to deter the commission of wildlife trafficking. Providing technical assistance to improve data collection and sharing among Brazilian enforcement agencies.
- Providing advisory and technical assistance regarding policies, legislation, and regulations for returning/repatriating/maintaining live animals rescued during law enforcement interventions.

Objective 2: Improve Brazilian capabilities to detect, investigate, prosecute, and adjudicate cases involving wildlife poaching and trafficking and related activities, including financial crimes (e.g., corruption and money laundering), and the use of legal processes such as civil and/or criminal forfeiture where applicable.

Activities may include but are not limited to:

- Enhancing Brazil's capabilities to prevent wildlife poaching and trafficking. Areas of support could address: detecting wildlife poaching and related crimes on site in the protected areas, forests, and other source locations; detecting laundering of poached wildlife through legal breeding facilities; detecting wildlife and wildlife products in transit and at ports and borders and tracing them back to criminal organizations; seizing evidence and increasing investigations, arrests, and prosecutions of traffickers (especially kingpins), including in destination markets.
- Providing basic and/or advanced training, technical assistance, and mentoring on the detection, investigation, prosecution, and adjudication of financial crimes related to wildlife trafficking (e.g., money laundering and corruption) involving Brazil and the use of legal tools such as civil and/or criminal asset forfeiture where applicable.
- Providing specialized training, technical assistance, and mentoring to relevant Brazilian agencies on intelligence-led investigations, information gathering, and analytic support on the detection and investigation of wildlife trafficking and the criminal networks involved, as well as related financial crimes. Areas of support could address: database development and case management; information analysis software and training; interagency and cross-border sharing, access and use of information/intelligence and data; cyber investigations training, e.g. the use of social media, Dark net, or other web-based sources as detection and investigation tools.
- Developing inter-institutional/inter-agency national and/or regional cooperation mechanisms for government stakeholders across all relevant agencies (e.g., forest/protected area rangers, law enforcement, prosecutors, and administrative agency officials, including site inspectors and monitors) to routinely network and coordinate

on the detection, investigation, and prosecution of wildlife trafficking and related crimes, including money laundering and corruption.

- Facilitating cooperation and coordination between the Brazilian government and the public in the fight against wildlife trafficking, such as providing technical training to rural and indigenous communities in remote areas where poaching and related environmental crimes occur on observing, documenting, and reporting suspicious activity.

Objective 3: Develop regional and transcontinental coordination and cooperation among law enforcement and prosecutors to detect, investigate, and prosecute criminal organizations involved in wildlife trafficking, e.g., between Brazil and other Latin American countries and between Brazil and Asian and/or European countries.

Activities may include, but are not limited to:

- Developing information sharing and operational cooperation mechanisms to facilitate joint law enforcement investigations involving Brazil and key source, transit or destination countries, e.g., Peru and Colombia, or Asia and Europe. Such mechanisms should include officials from the anti-corruption and financial intelligence sectors to target the related crimes of money laundering and corruption and the use tools such as civil and/or criminal forfeiture.
- Conducting joint workshops and/or trainings on mutual legal assistance in the investigation and prosecution of wildlife trafficking and related crimes.

CROSSCUTTING AND ADDITIONAL ACTIVITIES

1. Coordination and De-conflicting of Programs

Where other organizations are conducting similar programming to CWT in Brazil, we encourage collaboration, coordination, and de-conflicting of programs to maximize impact. This includes regional organizations and regional programs that include Brazil. 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 programs outlined in this NOFO. Demonstrate an understanding of other organizations working in Brazil on this issue and how your program will complement and coordinates 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. International NGOs are strongly encouraged to partner with local NGOs. Applications with letters of support, MOUs, and/or similar documents from governments and other partners will be ranked higher.

3. Personnel Safety and Security

The proposal must clearly articulate an understanding of the security situation and operating environment in Brazil. Applicants must provide a detailed safety and security plan for ensuring the personal safety of its staff and program participants. It is incumbent upon the applicant to write a safety and security plan tailored to their organization and

proposed program; INL will not provide a standardized template.

4. Program Expansion

If the program is successful, 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 or countries in future years. Applicants are strongly encouraged to demonstrate how their program might leverage funding through other organizations.

TARGET POPULATION

Applicants should identify target audiences, specific demographics, and list all states in Brazil in which the program will be implemented. It is particularly important to specify the approximate number of beneficiaries to be directly and indirectly impacted by program activities.

DESIRED RESULTS AND ILLUSTRATIVE INDICATORS

By the end of the program, the selected applicant will be expected to have strengthened the capacity of the government in Brazil to detect, investigate, prosecute, and adjudicate wildlife trafficking cases. During the life of the program, these results must be measured by indicators that could include:

- the development, adoption, and implementation of effective legislation and national strategies in line with international standards addressing wildlife crimes;
- increasing inter-agency cooperation in the investigation and prosecution of wildlife crime cases;
- increasing numbers of cross-border or transcontinental wildlife trafficking investigations and prosecutions;
- increasing capacity of authorities in protected areas investigating wildlife crimes;
- increasing number of judges handing down appropriate penalties for wildlife crime convictions;
- increasing quantities and values of seizures;
- institutionalizing of self-sustaining training programs addressing wildlife trafficking; and/or
- increasing number of prosecutions of complex wildlife trafficking cases and their facilitative crimes, such as money laundering, and the use of tools such as criminal or civil forfeiture.

The recipient will develop a program-level Performance Monitoring Plan (PMP) with annual and final targets and results for key performance indicators. The following table shows the outcomes and outputs for this program: the grant recipient will be responsible for monitoring and reporting on these indicators during and at the close of the program. In addition, INL will regularly monitor the program's performance to assess whether program activities are on track and the grantee is achieving the indicators and targets.

The recipient will be required to report against the following outcome and output indicators. In addition, the recipient may add extra indicators and targets, based on their work plan. The

recipient will also identify specific targets for these indicators, based on what it can reasonably achieve within the performance period of the program.

<i>Outcome Indicators</i>	<i>Targets</i>
Increased interdiction of illicit wildlife trade	TBD
Built investigative and enforcement functions	TBD
Enhanced prosecutorial and judicial capacity	TBD
Developed cross-border regional cooperation	TBD

<i>Output Indicators</i>	<i>Targets</i>
Number of justice sector officials trained	TBD
Number of arrests	TBD
Number of prosecutions	TBD
U.S. dollar value of all seized products	TBD

The recipient will be required to collect baseline data for all the PMP indicators during the first year of the program. Baseline information will be critical for both monitoring and evaluation of program progress and results.

[END OF SECTION I]

SECTION II – FEDERAL AWARD INFORMATION

INL expects to award one grant agreement for the full funding amount based on this NOFO, but may award up to two grant agreements that, when combined, total the full funding amount for this NOFO. The anticipated total federal funding amount will not exceed \$750,000. The period of performance is two years with an anticipated start date of October 2019. INL may extend the award up to three 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 award(s) to the responsible applicant(s) whose application(s) conforms to this NOFO and is 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/or (e) waive informalities and minor irregularities in applications received.

The U.S. government may make an award on the basis of the initial application 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 applicant(s) 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.

LEAHY 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 60 calendar days prior to commencing award activities. In order to initiate Leahy vetting procedures, the recipient must submit the following information to the U.S. Embassy in the country where they will implement the activity:

Information needed: Full name, date of birth, country of birth, country of citizenship, gender, rank, title, and organizational affiliation. Also include the activity and date that the activity will take place; if the person will participate throughout an extended program, 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 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) subject to section 501(c)(3) of the U.S. tax code and foreign not-for-profits/non-governmental organizations (NGOs) with the ability to develop and successfully implement a program in Brazil and meet INL's reporting requirements.
- Organizations must also be able to demonstrate current (or pending) country registration in Brazil, if required by the country in which the program will be implemented.
- Organizations must either have current operations and staff in Brazil or partner with at least one other NGO with resident staff in Brazil.

AND

- Applicants must have demonstrated experience implementing similar capacity building programs in Brazil. 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 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, 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 and other members as sub-award partners.
- Applicants must be able to respond to the NOFO and be able to mobilize within a short period.

PLEASE NOTE: Public International Organizations (PIOs), educational institutions, 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. INL is committed to an anti-discrimination policy in all of its programs and activities. INL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status.

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

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's Unique Entity Identifier Number (formerly Dun and Bradstreet [DUNS] number), as well as a current Central Contractor Registration, via www.SAM.gov.

All organizations must maintain an active SAM.gov registration with current information at all times during which they have an active Federal award or application under consideration by a Federal award agency. SAM.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM.gov. If an applicant has not fully complied with the requirements at the time of application, INL may determine that the applicant is unqualified to receive an award and use that determination as a basis for making an award to another applicant.

The process of obtaining a SAM.gov registration may take anywhere from 4-8 weeks. Begin your registration as early as possible.

Important Note:

Organizations physically located OUTSIDE of the U.S. and territories and wishing to conduct business (grants) with the U.S. Government must complete these steps in order:

1. request a NCAGE Code,
2. then request a DUNS Number, and finally
3. complete the registration process in SAM.gov.

U.S.-based organizations wishing to conduct business (grants) with the U.S. Government may proceed directly to SAM.gov. In this case, a U.S. CAGE Code will be assigned at the end of the SAM.gov registration process.

1. 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). Ensure that alphabets, numerical characters, symbols, spacing, etc. 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, call 1-269-961-4623 or send an email to NCAGE@dlis.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.

2. 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; 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, email: 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).** Ensure that alphabets, numerical characters, symbols, spacing, etc. is the same in both systems during the registration process.

3. SAM.gov Registration

SAM.gov registration is required of all INL applicants prior to registering with 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: 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.** Ensure that alphabets, numerical characters, symbols, spacing, etc. 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), allow up to 2 weeks.

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

Any applicant listed on the Excluded Parties List System (EPLS) in the System for Award Management (SAM) is not eligible to apply for an assistance award in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR, 1986 Comp., p. 189) and 12689 (3 CFR, 1989 Comp., p. 235), "Debarment and Suspension." Additionally, no entity listed on the EPLS can participate in any activities under an award. All applicants are strongly encouraged to review the EPLS in SAM.gov to ensure that ineligible entities are excluded from their applications.

All organizations must also continue to maintain active SAM.gov registration with current information at all times during which they have an active federal award or application

under consideration by a federal award agency. SAM.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM.gov. If an applicant has not fully complied with the requirements at the time of application, INL may determine that the applicant is unqualified to receive an award and use that determination as a basis for making an award to another applicant.

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 Grants.gov. SAM.gov requires ALL organizations (foreign and domestic) to register on an ANNUAL basis.

In October 2017, new information was added to the SAM.gov website to help international registrations, including a “Quick Start Guide for International Registrations” and “Helpful Hints.” Navigate to SAM.gov, click HELP in the top navigation bar, then click “International Registrants” in the left navigation panel for these additional guides.

4. SAMS Domestic Registration

Users who had a GrantSolutions account and were assigned to an award in GrantSolutions will already have an account 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 SAMS Domestic 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 at: <https://mygrants.service-now.com> and click on the “Forgot Password?” link. Your 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, 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 at: <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 or completing the registration process, 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>. Customer Support is available 24/7/365.

5. Grants.gov Registration

To apply for a grant, your organization must complete the Grants.gov registration process. The registration process can take 10 business days or longer, even if you complete all of the registration steps in a timely manner.

To obtain complete instructions on the registration process, log into:
<http://www.grants.gov/web/grants/applicants/organization-registration.html>.

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. Ensure that you have obtained an NCAGE code, a UEI number (also referred to as DUNS number), and an “ACTIVE” status in SAM.gov prior to registering in Grants.gov.

6. Grants.gov Applications

Refer to the Grants.gov website for definitions of various application statuses, including the difference between a “submission receipt” and a “submission validation.” Applicants will receive a validation e-mail from Grants.gov upon successful submission of an application. Validation of an electronic submission via Grants.gov can take up to two business days.

Late applications are neither reviewed nor considered unless you contact the INL point of contact listed in this NOFO **prior** to the deadline and provide evidence of a system error caused by Grants.gov that is outside of the applicant’s control and is the sole reason for a late submission.

Applicants should not expect a separate notification from INL upon receiving their application.

It is the responsibility of the applicant to ensure that it has an active registration in Grants.gov. Applicants are required to document that Grants.gov received the application in its entirety. INL bears no responsibility for disqualification that result from applicants not registered before the due date, system errors in Grants.gov, or other errors in the application process.

TECHNICAL FORMAT REQUIREMENTS

For all application documents, ensure:

- A. All pages are numbered, including budgets and attachments;
- B. All documents are formatted to 8 ½ x 11 inch paper; and
- C. All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with a minimum of 1-inch margins.

TECHNICAL ELIGIBILITY REQUIREMENTS

Technically eligible applications are those that:

- Arrive electronically via Grants.gov by the designated due date and time noted in this NOFO. If reasonable accommodations are granted for persons with disabilities or for security reasons, applications must still be received by INL by the designated due date and time noted in the NOFO;

- Are in English and all costs are in U.S. dollars. If an original document within the application is in another language, an English translation must be provided. If any document is in both English and a foreign language, the English language version is the controlling version. (Note: the Department of State, as indicated in 2 CFR 200.111, requires that English is the official language of all award documents);
- Heed all instructions contained in this NOFO, including length and completeness of application, and all required documents; and
- Do not violate any of the guidelines stated in the NOFO.

It is the sole responsibility of the applicant to ensure that all of the documents submitted in the grant application package are complete, accurate, and current. INL strongly encourages all applicants, especially foreign or first-time applicants, to submit applications before the designated due date to ensure that the application has been received and is complete.

APPLICATION REQUIREMENTS

Complete applications must include the following items listed below:

1. **Completed and signed SF-424, SF-424A, and SF424B**, submitted via Grants.gov. See Tab D for instructions for completion of Standard Forms 424, 424A, and 424B.
2. **Audit:** 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 includes a table with the organization name, program title, target country/countries, program synopsis, name and contact information for the application's main point of contact, program length (period of performance), and requested funding amount in U.S. dollars (see the award amount ceiling as stated in this NOFO).
4. **Table of Contents** listing all documents and attachments, with page numbers. Not to exceed one page in Microsoft Word.
5. **Executive Summary** that includes a.) a statement of work or synopsis of the program, including a concise breakdown of the program's goals, objectives, activities, and expected results, and b.) a brief statement on how the program is innovative, sustainable, and will have a demonstrated impact. Not to exceed two pages in Microsoft Word.
6. **Proposal Narrative** not to exceed fifteen pages in Microsoft Word. This page limit ***does not*** include the required documents listed in items #1 – 5 (above) and items #7 – 17 (below). See TAB A: Proposal Guidelines for additional details.

A proposal narrative should:

- Fully explain the program's **goals, objectives, and activities**. Objectives should be ambitious, yet measureable, results-focused, and achievable in a reasonable timeframe. Applicant should explain the program's significance or contribution to the INL mandate specified in this NOFO.
- Activities should be clearly developed and detailed, and the narrative should plainly articulate how the proposed activities contribute to objectives and overall program goal.
- Outline the applicant's **organizational capacity** to implement the proposed program.
- Describe in detail the program approach, **sustainability, potential impact, and complementarity to ongoing efforts**.

- Identify **target areas** for activities, identify target participant groups or selection criteria for participants, address how the program will engage relevant stakeholders, and identify local partners as appropriate, as well as any other pertinent details. If partners are included, the narrative should clearly describe the division of labor between the direct applicant and partners.
 - Expand upon the risk analysis to provide greater context, operational or programmatic **security concerns, and a contingency plan** for overcoming potential difficulties in executing the original work plan.
7. **Summary and Detailed Line-Item Budget** in Microsoft Excel that includes the following three columns: the amount requested from INL, cost sharing contributions (if any), and total budget (see below for more information on budget format). Applicants must submit a budget summary using the OMB-approved budget categories (see SF-424-A as a sample). Costs must be in U.S. dollars (a sample template is an attachment under the announcement via [Grants.gov](https://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 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. Applicants that have other USG-funded programs must confirm that the total time devoted by personnel assigned to more than one program does not exceed 100%. The budget narrative should communicate to INL any information that might not be readily apparent in the budget rather than simply repeating with words what is stated numerically in the budget (a sample template is an attachment under the announcement via [Grants.gov](https://www.grants.gov)).
 9. **NICRA:** If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, then 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. If your proposal includes sub-grants to organizations charging indirect costs, submit the applicable NICRA also as a PDF file (see “Indirect Charges” below for more information on indirect cost rates).
If your organization does NOT have a negotiated indirect cost rate agreement (NICRA), specify if your organization elects to charge the de minimis rate of 10% of the Modified Total Direct Costs (MTDC). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each sub-award in excess of \$25,000. 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:** See **TAB B** below for more information on this section. Sample templates provided as attachments under the announcement via [Grants.gov](https://www.grants.gov).
 11. **Roles and responsibilities of key program personnel:** Provide short bios that highlight relevant professional experience and their role in the proposed program. CVs are not recommended for submission.
 12. **Timeline:** Components should include activities and evaluation efforts for the overall proposal.
 13. **A list of previous and/or current U.S. federal assistance awards received:** Include the awarding agency, current point of contact, name of the program, start and end dates, and amount of the award. If a list of previous and/or current U.S. federal assistance awards received cannot be provided, an explanation must be submitted with the proposal submission.

- 14. Program Risk Analysis:** Provide the required risk analysis information as noted in **TAB B** of this NOFO (a sample template is provided as an attachment under the announcement via [Grants.gov](https://www.grants.gov)).
- 15. Personnel Safety and Security Plan:** Clearly articulate an understanding of the security situation and operating environment in the countries in which the organization plans to operate. Provide a detailed safety and security plan for ensuring the personal safety of the organization's staff and program participants. It is incumbent upon the applicant to write a safety and security plan tailored to their organization and proposed program; INL will not provide a standardized template.
- 16. INL Pre Award Annual Survey:** Populate the template provided by INL that reviews the organization's financial capacity and infrastructure (the template is provided as an attachment under the announcement via [Grants.gov](https://www.grants.gov)).
- 17. Additional optional attachments:** Not to exceed five 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.

Applications that do not include the items listed above will be deemed technically ineligible.

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

[END OF SECTION IV]

TAB A: PROPOSAL GUIDELINES

Proposals should include the following components:

- Introduction
- Planned Activities
- Indicators

Introduction: Not to exceed one-half page. Describe how the program will achieve or contribute to achieving a sustainable solution and a measurable outcome. The applicant should explain how the proposed intervention would complement or differ from other similar interventions. The implementer should explain the experience and qualifications they bring to the program. The introduction should also reflect an understanding of the priorities and policies of INL and its program to combat wildlife trafficking. Please do *not* include a problem statement or generic background information on wildlife trafficking.

Planned Activities and Indicators: Not to exceed 14½ pages. Describe the planned activities in specific detail. 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:

Planned Activities/Inputs → Process Indicators → Output Indicators → Outcome Indicators → Impact
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Process Indicators measure the activity that has been completed. 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:

Process Indicator	<i>50 women trained in energy efficiency standards</i>
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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:

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

Outcome Indicator	<i>30 percent of efficiency standards being implemented in a participant's country as a result of participant's participation</i>
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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 PROGRAM 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 to 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 with whom they partner. 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.

Performance indicators should be clearly defined and are, in many cases, quantifiable. Qualitative indicators are encouraged if they provide a reliable means to measure a particular phenomenon or attribute. A good guide for determining the quality of performance indicators is the acronym SMART – i.e., are the indicators: specific, measureable, attainable, realistic, and timely.

Indicators can focus on (i) inputs / process (measures activities or the necessary components for an activity to occur—e.g. training curriculum developed), (ii) outputs (products and services delivered from program activities, and often stated as an amount—e.g. 100 civil society organization members trained in organizational fundraising, 60 radio programs produced), and (iii) outcomes (the specific results of a program, which are often measured as a degree of change—after receiving training on effective engagement in the political process, 40% of female participants ran for a seat in parliament).

MONITORING & EVALUATION PLAN

The monitoring and evaluation plan must 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 (see attached sample Monitoring and Evaluation template).
- 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, including methods or methodology, that will be used.
- Plans should describe the projected outcomes and a dissemination plan where applicable, and how the program's impact and effectiveness will be monitored and evaluated throughout the program.

See the sample Monitoring and Evaluation template, which is an attachment to this 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, rate the likelihood of the risks, rate the potential impact of the risks on the program, and identify actions that could help to mitigate the risks. A risk analysis is not a one-time exercise or a static document. INL requires 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. This may result in revisions to risk analysis documents and processes, as necessary. Applicants should include all assumptions and external factors identified 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 [Grants.gov](https://www.grants.gov).

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

For more information about the Risk Analysis, see 2 CFR 200.519.

TAB C: BUDGET GUIDELINES

Applications will not be considered complete unless they include a budget that responds to the NOFO guidelines.

Complete budgets will include:

1. Summary Budget (that includes approved budget categories)
2. Detailed Line-Item Budget (outlining specific cost requirements for proposed activities)
3. Sub-grantee Budgets (if applicable)
4. Corresponding 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)

All organizations, including those not offering any cost-sharing (cost share is not a requirement), should submit a detailed line-item budget, formatted to include three columns:

1. INL funding request
2. Cost-share offered
3. Total program funding

Grantees under INL-funded programs are responsible for complying with all applicable tax treaties and federal, state, and local laws on tax withholding and reporting for program participants.

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

The three-column proposal line item budget template is provided as an attachment in Grants.gov.

LINE-ITEM BUDGET NARRATIVE

A. Personnel: Identify staffing requirements by each position title and brief description of duties. For clarity, list the annual salary of each position, percentage of time and number of months devoted to the program (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, not sub-grantee staff or contractors):

1. International and domestic airfare: Indicate origin and destination (country/city), number of travelers and unit cost per round trip. 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: 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. travel area available at: <https://www.gsa.gov/travel/plan-book/per-diem-rates> and foreign travel are available at: https://aoprals.state.gov/web920/per_diem.asp. 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. 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: Equipment is defined as an item with a per-unit cost of \$5,000 or more and a service life of more than one year. If the item meets these criteria, all federal procurement policies and procedures must be followed. If an item does not meet these criteria, it should be considered a supply and listed under cost category E. Provide justification for any equipment purchase/rental in the budget narrative.

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/month x 50% = \$25/month x 12 months).

F. Contractual:

1. Sub-grants: For each sub-grant, provide a detailed line-item breakdown explaining specific services in a separate tab in the Excel workbook. Sub-grant budgets should include the same level of detail for personnel, fringe benefits, travel, equipment, supplies, other direct costs, and indirect costs required of the direct applicant. If indirect costs are charged on a sub-grant budget, include the sub-grantee's NICRA. A sub-grantee who receives \$25,000 or more is required to have a UEI number.
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. Consultant Fees and Honorarium should NOT EXCEED \$526/day per person.

G. Construction: Due to the nature of INL programs, construction costs are not allowed.

H. Other Direct Costs: These will vary depending on the nature of the program. The inclusion of items in this cost category should be justified in the budget narrative. All costs must be allowable, allocable, and reasonable, and consistent with OMB guidelines. Single audit or 2 CFR 200 Subpart F audit costs can be included if they are not part of indirect costs. Only the portion of an organizational audit cost associated with this program can be included in the budget. Line items with justifications using words such as "Miscellaneous," "Other," "Etc.," "Contingency Fund," and "Reserve Fund" are not permitted.

I. Indirect Charges: An organization with a NICRA should include a copy of their negotiated indirect cost-rate agreement with their application. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding. Applicants should indicate in the proposal budget how the rate is applied (e.g., to direct administrative expenses, to all direct costs, to wages and salaries only, etc.) 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 (MTDC) which may be used indefinitely. Per 2 CFR 200.68, MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each sub-award (regardless of the period of performance of the sub-award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition reimbursement, scholarships and fellowships, participant support costs, and the portion of each sub-award in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs. The budget narrative should include a justification of the MTDC calculation, clearly describing which costs will be covered if using the 10% de minimis indirect rate.

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. The elected methodology 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.

Organizations not applying the de minimis rate of up to 10% of MTDC, but claiming indirect costs, should have established NICRAs.

If the budget includes sub-awards, the recipient organization has the responsibility to honor an existing NICRA, negotiate an indirect rate, offer the 10% de minimis, or allow costs to be directly charged to the sub-award budget for each sub-award, per 2 CFR 200.331.iii.4. If an organization has an established NICRA the agreement should be submitted with the proposal package.

J. Cost Share/Cost-Effectiveness: Cost-sharing is the portion of program costs not borne by the U.S. government. While not a competitive element, INL encourages (but does not require) cost sharing, which may take the form of allowable direct or indirect costs offered by the applicant and/or in-country partners. Applicants should consider all types of cost sharing, including in-kind and public-private partnerships. Examples include the use of office space owned by other entities; donated or borrowed supplies and equipment; (non-federal) sponsored travel costs; waived indirect costs; and program activities, translations, or consultations conducted by qualified volunteers. The values of offered cost-share should be reported in accordance with (the applicable cost principles outlined in) 2 CFR 200.306. Other United States federal funding does not constitute cost sharing.

Explanations of contributions should be included, whether cash or in-kind. Assign a monetary value in U.S. dollars to each in-kind contribution. If the proposed program is a component of a larger program, identify other funding sources and the specific funding amount to be provided by those sources. In addition, it is recommended that the budget narrative address the overall cost-effectiveness of the proposal, including leveraging of institutional or other resources.

INL programs do not require cost share but, if it is included, then the recipient must maintain

written records to support all allowable costs that are claimed as its contribution to cost share, as well as costs to be paid by the Federal government. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost sharing as stipulated in the recipient's budget, INL's contribution may be reduced in proportion to the recipient's contribution.

For information on Shared Cost Allocations, reference 2 CFR 200.405 https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=c8ac158b49a23a38aa04b1ba0bb242ee&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200_1405.

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 note the following guidance concerning use of Program Income:

- Program income earned during the program 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 program 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.

INL will consider budgeted line-items for the following:

- External evaluations to assess the program'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 United States that are not related to the program
- Administration of a program that will make a profit
- Expenses incurred before or after the specified dates of award period of performance (unless prior written approval is received by the INL Grants Officer)
- Programs 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”, “etc.”, or “contingencies”
- Expenses made prior to the approval of a proposal or unreasonable expenditures

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

Organizations must fill out, sign, and submit SF-424, SF-424A, and SF-424B forms as directed on Grants.gov. Note that all communications regarding the application will be directed to the points of contact identified on the SF-424 forms.

SF-424 Application for Federal Assistance: Refer to the following guidelines as you fill out the SF-424 form.

1. Type of Submission: Application
2. Type of Application: New
3. Date Received: Leave blank, this will automatically be assigned
4. Applicant Identifier: Leave blank
5. Federal Identifiers
 - a. Federal Entity Identifier: Leave blank
 - b. Federal Award Identifier: Leave blank
6. Date Received by State: Leave blank, this will automatically be assigned
7. State Application Identifier: Leave blank, this will automatically be assigned
8. Applicant Information:
 - a. Legal Name: Enter the legal name of the applicant organization. Do NOT list abbreviations or acronyms unless they are part of the organization's legal name
 - b. Employer/Taxpayer ID Number (EIN/TIN): Non-U.S. organizations enter 44-4444444 (no dash)
 - c. Organizational DUNS: Enter the organization's UEI (Unique Entity Identifier) number. If a UEI/DUNS number is not required at time of submission, enter 4444-44444 (without the dash)
 - d. Address: Enter the address of the applicant
 - e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable
 - f. Point of Contact: Enter the name, title, and all contact information of the person to be contacted on matters involving this application
9. Type of Applicant: Select an applicant type (type of organization)
10. Name of Federal Agency: Enter "Department of State"
11. Catalog of Federal Domestic Assistance Number: The CFDA number is 19.705
12. Funding Opportunity Number: Enter the Funding Opportunity Number and title. This number will be automatically completed on electronic applications. Otherwise, it can be found in the NOFO
13. Competition Identification Number: Enter the Competition Identification Number and title. This number will be automatically completed on electronic applications
14. Areas Affected by Program: List the country or countries where program activities will take place in alphabetical order; for programs that will take place in more than one region enter "Global"
15. Descriptive Title of Applicant's Program: Enter the title of your proposed program (if necessary, delete pre-printed wording)
16. Congressional Districts of:
 - a. Applicant: If based in the U.S. enter congressional district; if unknown or a foreign applicant, enter "90"

- b. Program: For congressional district of program, enter “90”
- 17. Proposed Program:
 - a. Start Date: Refer to the NOFO for the estimated start date
 - b. End Date: Enter your projected end date
- 18. Estimated Funding (\$):
 - a. Federal: Enter the amount requested for the program described in the proposal
 - b. Applicant: Enter any proposed cost-share. If none, enter “0”
 - c. State: Enter “0”
 - d. Local: Enter “0”
 - e. Other: Enter “0”
 - f. Program Income: Enter “0”
 - g. TOTAL: This field will auto-populate based on the numbers in fields a-f
- 19. E.O. 12372: Enter “c. Program is not covered by E.O. 12372”
- 20. Applicant Delinquent on Any Federal Debt? Select the appropriate box. If you answer “yes” to this question you will be required to provide an explanation
- 21. Certification and Signature of Authorized Representative: Enter the name, title, and all contact information of the individual authorized to sign for the application on behalf of the applicant organization

SF-424A Budget Information – Non-Construction Programs: Review the detailed instructions below before completing this form online.

Note: the person who signs the SF-424A must have legal authority to do so on behalf of the organization.

Section A – Budget Summary

Row 1:

- a. This should be auto-populated as “INL Grants.” However, if it does not, write “INL.”
- b. This should auto-populate. If not, the CFDA number is 19.705.
- c. Leave blank.
- d. Leave blank.
- e. Enter the amount of federal funds requested for this program.
- f. Enter the amount of any other non-federal funds that will contribute to this program.
- g. Enter the total cost of this program.

Rows 2, 3, and 4: leave blank

Section B – Budget Categories

Column 1: Enter total program costs in each category in Column 1

Columns 2, 3, and 4: Leave blank

Column 5: Form should automatically calculate the sum

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

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

6j: Enter any indirect charges

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

7: Enter any program income that will be earned as a result of the program; if there is none, leave this section blank

Section C – Non-Federal Resources

Only complete this section if your program includes applicant cost share or funds from other sources (cost share is not required).

8a. Under Grant Program enter “INL”

8b. Enter your cost share amount

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

8d. Leave blank

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

Rows 9, 10, and 11: leave blank

Row 12: should automatically calculate the totals

Section D – Forecasted Cash Needs

13. In the first column, enter the amount of federal funds you are requesting for this program. This amount should equal the amount in Section A 1e.

14. In the first column, enter the amount of any other funds you will receive towards this program. This amount should equal the amount in Section A 1f.

15. In the first column, enter the sum of 13 and 14 (the form should automatically show this sum). This amount should equal the amount in Section A 1g.

Section E – Budget Estimates of Federal Funds Needed for Balance of the Program

Rows 16, 17, 18, 19, and 20: leave blank

Section F – Other Budget Information

21. Direct Charges: leave blank

22. Indirect Charges: if indirect charges are shown in Section B 6, enter the type of indirect rate used (provisional, predetermined, final, or fixed)

23. Enter any comments

III. SF-424B Assurances – Non Construction Programs: Complete the highlighted fields and ensure the document is signed by an Authorized Official. The Authorized Official is generally the grant signatory at the organization.

IV. SF-LLL Disclosure of Lobbying Activities (only if applicable): The filing of an SF-LLL form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress.

[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 an 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.

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 (3)
- Each activity is clearly developed and detailed (3)
- Provides a comprehensive quarterly work plan for program 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 (3)

- Describes the division of labor among the direct applicant, any partners and any potential sub-grantees (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 (6)

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 programs'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 programs (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)

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 program and does not contain estimated costs that may be unallocable, unreasonable, or unallowable. Applications that have more efficient operational systems that reduce operation costs will be favorably considered.

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 via SAMS Domestic. 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. Refer to the anticipated time to award information in Section II.

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 by the Grants Official for an award under this announcement.

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: <https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200>.

Branding Requirements: As a condition of receipt of a grant award, all materials produced pursuant to the award 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. This includes, but not limited to, training materials, materials for recipients, or materials to communicate or promote with foreign audiences any program, event, or other activities under this agreement, including but not limited to invitations to events, press materials, and backdrops, podium signs, etc. **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 program 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 program period.
 - First Quarter (October 1 – December 31): Report due by January 31
 - Second Quarter (January 1 – March 31): Report due by April 30
 - Third Quarter (April 1 – June 30): Report due by July 31
 - Fourth Quarter (July 1 – September 30): Report due by October 31

All reports are to be submitted electronically via SAMS Domestic and 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 SF-428 forms 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 this NOFO 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 promptly furnished to all other prospective applicants as an amendment to 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 via email to INL-C-WLT@state.gov and Najar Washington at WashingtonND@state.gov by the deadline for questions indicated on the first page of this NOFO.

[END OF SECTION VII]