U.S. DEPARTMENT OF STATE
BUREAU OF ENERGY RESOURCES
Notice of Funding Opportunity

Funding Opportunity Title: The Energy Resource Governance Initiative (ERGI) Academy
Funding Opportunity Number: SFOP0007190
Deadline for Applications: August 9, 2020 by 11:59 P.M. Eastern Standard Time (EST)
CFDA Number: 19.027
Total Amount Available: $691,250
Number of awards anticipated: 1 award
Award amounts: $691,250

A. PROGRAM DESCRIPTION

The Bureau of Energy Resources (ENR) of the U.S. Department of State announces an opportunity for organizations to submit applications to enter a cooperative agreement (CA) with ENR.

This three-year cooperative agreement with the Department of State Bureau of Energy Resources (ENR) will focus on establishing the ERGI Academy, a center for convening delegates from around the world to experience hands-on training in minerals governance topics of their choosing, as well as site visits to active mining operations to see these principles in action. To achieve this goal, the Recipient will provide delegates training and advisory support to strengthen institutional capacity in modern, best-in-class mining sector operations, management, regulation, and enforcement. Activities under this Cooperative Agreement will include course curriculum development and training, capacity-building, on-site mining site visits, technical advisory support for mining sector governance topics, and job shadowing.

Eligibility is limited to U.S. and foreign educational institutions.

A cooperative agreement, which will include the substantial involvement of the U.S. Department of State for up to $691,250 U.S. Dollars (USD) in FY 2019 Economic Support Funds (ESF) will be awarded for work that will increase the capacity of foreign delegations to develop mining sector governance skills and expertise in order to manage soundly and regulate mineral sectors in their home countries, as well as provide foreign delegations real-life immersion in mining sector best practices. The period of performance will be 36 months. Funding authority rests in the Foreign Assistance Act of 1961, as amended. **This notice is subject to availability of funding.**

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Priority Region: Global

Program Goals and Objectives:

A. Background

Increasing demand for renewable energy, electric vehicles, and battery storage technologies will create unprecedented demand for "energy resource minerals," those critical minerals and metals that will fuel the energy transition. The Energy Resource Governance Initiative (ERGI) is a multilateral effort to promote sound mining sector governance, and resilient and secure energy mineral supply chains. Through this initiative, ENR engages countries to advance good governance principles, share best practices, and encourage a level playing field for responsible investment.

ERGI focuses on three strategic objectives: 1) Engaging countries on responsible energy minerals governance; 2) supporting the development of resilient supply chains; and 3) helping to meet the expected critical minerals demand for clean energy technologies. This Cooperative Agreement will focus on the first strategic objective: engaging countries and building capacity in sound mineral sector governance.

ENR's Office of Energy Programs manages global energy foreign assistance programs focused on mineral, hydrocarbons, and power sector governance. This cooperative agreement would support the Energy Governance and Capacity Initiative (EGCI) – a foreign assistance program that provides U.S. government and expert independent advisory services on a wide range of capacity-building programs related to hydrocarbon and mining sector governance and oversight to countries across the globe. Through EGCI, the Department of State works with governments to build capacity to improve governance by developing the institutional and human expertise needed to oversee resources and grow economies.

The Recipient shall not provide assistance to any country under this agreement without first obtaining the prior written approval of ENR.

B. Program Goal and Objectives

Working in close partnership with our delegate country representatives, ENR assistance through this Cooperative Agreement seeks to bolster institutional capacity to manage mineral resources in recipient countries, leverage specialized U.S. university connections, and build capacity in mining sector topics including (but not limited to): data acquisition and management, environmental management, localization and workforce development, fiscal terms and contracts, mineral licensing and leasing, establishing regulatory enforcement, health and safety standards, mine reclamation, and social license to operate. Many of these topics are available through the ERGI Toolkit (www.ergi.tools) and developed curriculum should reinforce the principles presented there.

Through the Cooperative Agreement, ENR also seeks to build capacity and train a generation of mining sector experts, regulators, and specialists that can work to develop their home-country mining sectors. Meaningful exchanges, in the form of meetings, technical trainings, and conferences, will allow more countries to benefit from capacity building in this important sector. As countries strengthen governance and improve regulatory regimes, they will be better suited to attract best-in-class mining companies and investments, thereby increasing the amount of these important commodities in the global market and diversifying supply.

This assistance also supports a strengthens understanding of U.S. and leading industry standards and perspectives on how sustainable mining sector projects should be undertaken and managed for the benefit of all.

Efforts under the Cooperative Agreement will support ENR's broader goals to:

1. Promote global political stability and prosperity through energy and mineral sector development;
2. Promote energy and mineral resource security for our allies and partners;
3. Share the U.S. and leading industry experience in sustainable mineral resource development;
4. Assist governments to build expertise to manage the complexities associated with critical mineral development, including unique technical, operational, health, safety, and environmental issues;
5. Establish and strengthen working relationships at the technical levels between governments and other stakeholders working on mineral sector issues; and
6. Encourage the embedding of international best practices in mineral sector development abroad.

C. Expected Results and Participants

Two overarching objectives from this Cooperative Agreement are to:

1. Increase the capacity of foreign delegations to develop mining sector governance skills and expertise in order to manage soundly and regulate mineral sectors in their home countries. To reach this result, the Recipient is expected to deploy innovative, tailored, state-of-the-art methods to help identify and develop educational materials and trainings that match each delegation's specific needs and priorities.

2. Provide foreign delegations real-life immersion in mining sector best practice. To achieve this objective, the Recipient is expected to be located in proximity to active above ground and below ground mining operations, and to organize site visits, study tours, and job shadowing opportunities for foreign delegations so they can see and learn best practice firsthand.

D. Main Activities

I. Training for Government Officials

The recipient will develop and conduct a series of consultations and workshops for government officials on a range of mining sector issues as identified by the foreign government recipient. The purpose of these engagements is to:

1. Increase knowledge of technical aspects of mining development, including (but not limited to): Data acquisition and management, environmental management, localization and workforce development, fiscal terms and contracts, mineral licensing and leasing, regulatory enforcement, health and safety standards, mine reclamation, and social license to operate.

2. Increase knowledge and application of best practices in sustainable mining sector development, tapping into the extensive experience of the Recipient and the surrounding communities, including private citizens, local businesses, and local government; and

3. Develop expertise in managing the unique technical, regulatory, financial, and environmental issues associated with the development of mineral and metal resources and develop knowledge in utilizing best practices to address those challenges.

During the thirty-six (36)-month term of the cooperative agreement, the Recipient will conduct a minimum of two (2) trainings per year (six (6) total over the cooperative agreement term) that will include learning modules and discussion by appropriate academic and mining sector experts.

Air travel, transportation, lodging and per diem costs for training participants will be the responsibility of the Recipient. To encourage cost savings, the Recipient can provide, with the approval of ENR and the respective delegations, joint trainings to two or more governments at the same time. This is envisioned if mineral geology and mining goals are similar for all governments involved. Due to the cost savings which may take place in this situation, ENR will determine at the time how many trainings this counts as and if additional trainings beyond the six (6) will be possible.

Courses will be tailored to each delegation's unique geology and mineral resource base. The implementation of the workshops, including prioritizing the substance issues to be addressed by each workshop, will be discussed and vetted with ENR, government partners, and other stakeholders. Trainings, consultations, and presentations will be conducted in, or translated into, the working language of the recipient country and this cost will be the responsibility of the Recipient. The short courses will further include the participation, via presentations and discussion, of federal and state regulatory and other officials as requested and as appropriate.

As appropriate and as approved in advance by ENR, training may also be conducted overseas in ERGI partner countries. Through funds under this cooperative agreement and through its own cost-share, the Recipient will arrange and be responsible for the costs of travel, accommodations, and per diem for instructors paid for by the Recipient to conduct overseas trainings. The Recipient will also be responsible for the costs of reserving venues, food services, and translation of training sessions and materials unless provided by ERGI partner countries.

Participants to the ERGI Academy will be foreign counterpart federal, provincial/state, and local government officials and staff with roles in mineral sector management. Participation will be subject to ENR concurrence and approval.

To that end, the ERGI Academy will work with ENR to identify countries that:

- Have been identified in pre-implementation meetings with ENR over the course of the Cooperative Agreement to have significant critical energy mineral resource base;
- Are dedicated to exploring and developing their mineral resources;
- Are willing to undertake necessary mining sector reforms to ensure good sector governance; and
- Are aligned with U.S. national security, economic, and energy policy goals.

II. Site Visit Organization and Implementation

To complement the capacity building and instructional courses developed and implemented in Section I, the Recipient will also organize and develop site visits to active nearby and relevant critical mineral mining operations to help reinforce ERGI principles and concepts in real life.

To this end, the Recipient must be located within driving distance of a variety of mining operations, to include aboveground, belowground, mineral, metallic, etc. This variety is important as different country delegations will have different needs based on their home geology.

The Recipient is responsible for the cost of organizing these site visits, to include transportation to and from the mining operation, any translation required, and food and drinks for the delegations en route to the mining operation. If overnight lodgings nearby are deemed most efficient to maximize learning time, the Recipient will be responsible for the cost of those lodgings and associated per diem as well.

The Recipient will organize at least one of these site visits for every foreign delegation that attends the ERGI Academy, for a minimum of six (6) site visits over the duration of the cooperative agreement. As with the trainings described in Section I, to encourage cost savings, the Recipient can provide, with the approval of ENR and the respective delegations, joint site visits to two or more governments at the same time. This is envisioned if mineral geology and mining goals are similar for all governments involved. Due to the cost savings which may take place in this situation, ENR will determine at the time how many site visits this counts as and if additional site visits beyond the six (6) will be possible.

III. Additional Technical Assistance Activities with Government Officials

As requested by ENR and through discussions with partner governments, the Recipient will identify specific areas of targeted engagement and address these issues through short-courses, in-country advisor support, peer-to-peer exchanges, video conferences, written materials, and other activities. As with the workshops described in Section I, the purpose of these additional technical assistance activities will be to:

1. Increase knowledge of technical aspects of mining development, including (but not limited to): data acquisition and management, environmental management, localization and workforce development, fiscal terms and contracts, mineral licensing and leasing, establishing regulatory enforcement, health and safety standards, mine

reclamation, and social license to operate.

2. Increase knowledge and application of best practices in sustainable mining sector development, tapping into the extensive experience of the Recipient and the surrounding business community; and

3. Develop expertise in managing the unique technical, regulatory, financial, and environmental issues associated with the development of mineral and metal resources and develop knowledge in utilizing best practices to address those challenges.

Additional technical assistance and associated materials will be conducted in, or translated into, the working language of the government receiving the assistance and this cost will be the responsibility of the Recipient.

E. Reporting Requirements

The Recipient will, at a minimum, provide ENR with the following reports:

1. After-Action Reports: The Recipient will provide ENR with informal after-action reporting for each Recipient-organized activity, including an activity or event summary, key outcomes, lessons learned, and proposed next steps. Such reports can take the form of emails and will be submitted within 5 days of the completion of the activity or event.

2. Quarterly Reports: The Recipient will provide ENR with quarterly reports, which include performance analysis that includes a summary of each activity undertaken, progress toward Agreement objectives, compliance with the work plan agreed upon with ENR, challenges and responses taken/recommended responses, and proposed next steps. The Recipient may propose additional strategies for monitoring results, developing communications, and disseminating lessons learned, as necessary to account for the specific goals of the cooperative agreement. Quarterly reports will additionally provide a report of expenditures in the format of the sample summary budget. Quarterly reports will be submitted to ENR within 30 days after the end of a quarter and will include reporting on performance indicators described in Section F.

F. Performance Indicators

The project should monitor and report on performance indicators that are specific, measurable, achievable, reasonable, and time-bound (SMART). The Recipient should establish, where possible, performance baseline data and expected performance targets for each expected result, and include details on what sources of data will be used to document performance, how the indicators will be measured, frequency of measurement, and units of measure. Indicators should also allow for disaggregation by key variables such as tracking the level of engagement of U.S. and international companies in all relevant indicators as well as gender disaggregation, as applicable. Indicators should reflect key project outputs or outcomes that reflect on the primary goals or objectives of the project and that the implementer can collect with high quality data.

The Recipient will be responsible for quarterly reporting on each performance indicator included in the cooperative agreement as well as analysis of progress or impediments to reach indicator targets. Indicators should be chosen or crafted carefully to reflect the key outcomes or outputs that reflect project performance. The State Department, per policy, assesses the quality of data reported by grant recipients as part of the award activities, therefore applicants should be aware that recipients will be engaged in data quality assessments.

Indicators and their disaggregates proposed below may be included in submitted proposals. Additional indicators, or edited version of the indicators below, may also be proposed. Potential indicators for this project could include:

Performance Indicator	Disaggregate by
Custom Indicator: Qualitative feedback from training participants	Government Private Sector Civil Society
Custom Indicator: Amount of investment mobilized (in USD) for energy and mineral projects as supported by U.S. government assistance	Government female Government male Private Sector female Private Sector male Civil Society female Civil society male
Custom Indicator: Value of U.S. exports of 1) energy resources, 2) energy sector services, and 3) energy technologies, including future contracted sales as supported by U.S. government assistance	Energy resources (identify type of resource (e.g., LNG)) Energy sector services (identify type (e.g., engineering services)) Energy technologies (identify type (e.g., turbines, etc.))
EG 7.1-1: Number of beneficiaries with improved energy services due to U.S. government assistance	Clean energy female Clean energy male Non-Clean energy female Non-Clean energy male
EG 7.2-1: Amount of investment mobilized (in USD) for energy projects as supported by U.S. government assistance	Public, domestic Public, international Private, domestic Private, international

EG 7.3-1: Number of laws, policies, regulations, or standards to enhance energy sector governance formally proposed, adopted, or implemented as supported by U.S. government assistance	National, proposed National, adopted National, implemented Sub-national, proposed Sub-national, adopted Sub-national, implemented Regional or international, proposed Regional or international, adopted Regional or international, implemented
EG 7.3-2: Number of people trained in technical energy fields supported by U.S. government assistance	Number of men Number of women Number of Executive Branch Personnel Number of Legislative Branch Personnel Number of State Owned Enterprise (SOE) Personnel

G. Substantial Involvement

ENR will be sustainably involved in the implementation of the program. Substantial involvement will include the following:

- Approval of the recipient's implementation plans;
- Approval of specified key personnel;
- Agency and recipient collaboration or joint participation including;
  - Concurrence on the substantive provisions of sub-awards.
  - Approval of the recipient's monitoring and evaluation plans.
  - Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made part of the award.
- Advising and reviewing training materials, site visit plans, and other resources.

H. Risk Assessment

Proposals must include a risk assessment and a plan for monitoring and mitigating the risks identified. Risks to project implementation may include a variety of political, environmental, and other factors. A few examples include outbreak of violent conflict, elections that change government partners, cybersecurity / hacking, misuse of personally identifiable information (PII), and diversion of financial or non-financial support to prohibited parties (terrorist financing).

The assessment should also identify risks to staff, implementers, participants, beneficiaries, or their communities. Besides political and environmental factors, risks may include online or in-person potential physical, social, psychological, economic, and/or reputational backlash to beneficiaries as a result of their participation. The proposal should include a participatory needs assessment and explain how its implementers will engage with local actors throughout its lifecycle. Strong proposals will also describe strategies to sustain the activities beyond ENR funding, or alternatively, how applicants will co-design a responsible exit strategy with local partners and in consultation with beneficiaries.

B. FEDERAL AWARD INFORMATION

Overall grant-making authority for this project is contained in the Foreign Assistance Act of 1961, as amended. ENR intends to award a Cooperative Agreement to the applicant whose application, conforming to this NOFO, offers the greatest value in furthering the goals of the program described in Section A. A Cooperative Agreement is distinguished from a grant by virtue of ENR having substantial involvement in the implementation of the program. Depending on the quality of performance and other factors, ENR may consider additional supplemental funding to continue activities and extend the period of performance, if funds are available and ENR and the Recipient mutually agree. Eligible competitive proposals may be considered for support if additional funds are made available.

Summary of Award Information

Type of Award:	Cooperative Agreement
Fiscal Year Funds	FY 2019
Approximate Total Funding:	$691,250
Approximate Number of Awards:	1
Anticipated Award Date:	September 2020
Anticipated Project Completion Date:	September 2023

<u>Timeline for Award Adjudication</u>

Deadline for Applications:	August 9, 2020
Notification of Project Approval/Disapproval:	September 30, 2020

C. ELIGIBILITY INFORMATION

- Eligibility is limited to U.S. and international educational institutions.

- Technically eligible submissions are those which: 1) arrive electronically to www.grants.gov or https://mygrants.service-now.com by the designated deadline; 2) have heeded all instructions contained in the Notice of Funding Opportunity (NOFO), including registrations and length and completeness of submission; and 3) do not violate any of the guidelines stated in the solicitation and this document.

1. Cost Sharing or Matching

   There is no mandatory level of cost-sharing for this program.

2. Other Eligibility Requirements

In order to be eligible to receive an award, all organizations must have a unique entity identifier (Data Universal Numbering System/DUNS number from Dun & Bradstreet), as well as a valid registration on www.SAM.gov. Please see Section D.3 for information on how to obtain these registrations. Individuals are not required to have a unique entity identifier or be registered in SAM.gov.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

   Application forms required below are available at SAMS Domestic or grants.gov.

2. Content and Form of Application Submission

   Please follow all instructions below carefully. Proposals that do not meet the requirements of this announcement or fail to comply with the stated requirements will be ineligible.

Content of Application

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

The following documents are **required**:

1. Mandatory application forms

- Completed and signed SF-424, SF-424A and SF424B, as directed on Grants.gov and SAMS Domestic. The Certifications and Assurances that your organization is agreeing to in signing the 424 are available at https://www.grants.gov/web/grants/forms/sf-424-mandatory-family.html. The SF-424B is required only for those applicants who have not registered in SAM.gov or recertified their registration in SAM.gov since February 2, 2019 and completed the online representations and certifications;
- If your organization engages in lobbying activities, a Disclosure of Lobbying Activities (SF-LLL) form is required;
- Letter of Disclosure for proposed consultants/personnel (if applicable) of potential conflicts of interest, employment with a local/state/federal government.
- Due to the work disruptions and travel restrictions caused by COVID-19, the applicant must include a contingency plan outlining how to mitigate restrictions/interruptions to the project implementation during the period of performance. Contingency plans may include project implementation through remote or virtual training tools.

2. Summary Page: Cover sheet stating the applicant name and organization, proposal date, program title, program period proposed start and end date, and brief purpose of the program. Table of Contents that lists application contents and attachments.

3. Proposal (25 pages maximum): The proposal should contain sufficient information that anyone not familiar with it would understand exactly what the applicant wants to do. You may use your own proposal format, but it must include all the items below.

- **Proposal Summary:** Short narrative that outlines the proposed program, including program objectives and anticipated impact.
- **Introduction to the Organization applying**: A description of past and present operations, showing ability to carry out the program, including information on all previous grants from the U.S. Embassy and/or U.S. government agencies.
- **Problem Statement:** Clear, concise and well-supported statement of the problem to be addressed and why the proposed program is needed
- **Program Goals and Objectives:** The “goals” describe what the program is intended to achieve. The “objectives” refer to the intermediate accomplishments on the way to the goals. These should be achievable and measurable.
- **Program Activities**: Describe the program activities and how they will help achieve the objectives.
- **Program Methods and Design**: A description of how the program is expected to work to solve the stated problem and achieve the goal. Include a logic model as appropriate.
- **Proposed Program Schedule and Timeline:** The proposed timeline for the program activities. Include the dates, times, and locations of planned activities and events.
- **Key Personnel:** Names, titles, roles and experience/qualifications of key personnel involved in the program. What proportion of their time will be used in support of this program?
- **Program Partners:** List the names and type of involvement of key partner organizations and sub-awardees.
- **Program Monitoring and Evaluation Plan:** This is an important part of successful grants. Throughout the time-frame of the grant, how will the activities be monitored to ensure they are happening in a timely manner, and how will the program be evaluated to make sure it is meeting the goals of the agreement.
- **Future Funding or Sustainability** Applicant’s plan for continuing the program beyond the grant period, or the availability of other resources, if applicable.

4. Budget Components: After filling out the Excel Budget, use a separate sheet of paper to describe each of the budget expenses in detail.

a. Summary Budget in USD, in Excel, printable on letter-sized paper, using the format in the provided Excel Budget Template;
b. Detailed Budget in USD in Excel, printable on letter-sized paper, using the format in the provided Excel Budget Template;
   i. The budget should be for the entire project period. Successful applicants may be asked to provide a year-by-year budget after the award is signed;
   ii. All sub-award costs should be listed under Line F, “Contractual,” and should also be broken out and organized according to the subcategories. All sub-awardees must be organizations with unique entity identifier (DUNS) numbers (certain exceptions apply). Individual contractors should also be

listed under Line F, and should each be listed separately from sub-grantee line items.

b. Budget Narrative that includes an explanation for each line item in the spreadsheet, as well as the source and description of all cost share offered. See section *H. Other Information: Guidelines for Budget Submissions* below for further information.

5. Attachments:

- 1-page CV or resume of key personnel who are proposed for the program
- Letters of support from program partners describing the roles and responsibilities of each partner
- If your organization has a NICRA and includes NICRA charges in the budget, your latest NICRA should be included as a PDF file.
- Official permission letters, if required for program activities

6. Unique Entity Identifier (DUNS) and System for Award Management (SAM):

Each applicant (unless the applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR §25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR §25.110(d)) is required to: (i) Be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency. The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.
In addition, if the organization plans to sub-contract or sub-grant any of the funds under an award, those sub-awardees must also have a unique entity identifier (DUNS) number. (Certain exceptions apply)

All organizations applying for grants (except individuals) must obtain these registrations. All are free of charge:

- Unique entity identifier from Dun & Bradstreet (DUNS number)
- NCAGE/CAGE code
- www.SAM.gov registration

Step 1: Apply for a DUNS number and an NCAGE number (these can be completed simultaneously)

DUNS application: Organizations must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet. If your organization does not have one already, you may obtain one by calling 1-866-705-5711 or visiting http://fedgov.dnb.com/webform

NCAGE application: Application page here: https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx

Instructions for the NCAGE application process:
https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf

For NCAGE help from within the U.S., call 1-888-227-2423
For NCAGE help from outside the U.S., call 1-269-961-7766
Email NCAGE@dlis.dla.mil for any problems in getting an NCAGE code.

Step 2: After receiving the NCAGE Code, proceed to register in SAM.gov by logging onto: https://www.sam.gov. SAM registration must be renewed annually.

3. Submission Dates and Times

Applicants are urged to begin the application process well before the submission deadline. No exceptions will be made for organizations that have not completed the necessary steps. All applications must be submitted by 11:59pm Eastern Daylight Time (EDT) on August 9, 2020**.** Applications received via email or after the deadline will not be considered.

4. Funding Restrictions

The Recipient must ensure that all funds are used in a manner consistent with U.S. Government laws on the use of foreign assistance funds, including any applicable restrictions on funding. No pre-award costs are allowed.

5. Other Submission Requirements

The Department of State requires proposals be submitted electronically through Grants.gov (www.grants.gov) or SAMS Domestic (https://mygrants.service-now.com).
Organizations new to Grants.gov and SAMS Domestic: In order to register to use grants.gov and SAMS Domestic, an organization must complete a number of steps, which include those registration requirements listed in D3. Completing all of these steps can take up to 4 weeks, especially for an international organization. Additionally, SAMS Domestic requires multi-factor authentication.

E. APPLICATION REVIEW INFORMATION

1. **Criteria**

Each application will be evaluated and rated on the basis of the evaluation criteria outlined below:

Quality and Feasibility of the Program Idea – 25 points: The program idea is well developed, with detail about how program activities will be carried out. The proposal includes a reasonable implementation timeline. The applicant should be able to access technical expertise in hydrocarbon, mineral, and power sectors with preferred focus in the specific priority regions. The applicant should also be able to access regional and country-specific economic and

political subject matter expertise. Relevant expertise can be convened from within the applicant's organization, or through or agreements with third parties.
Specific personnel required for the development of ongoing engagements could include but are not limited to:

- Geologists, Geophysicists, and Engineers with experience in the mining industry;
- Industry experts with experience in mineral licensing and upstream and midstream mining operations;
- Health, safety, and environmental specialists with experience managing the impacts of the mineral industry and designing safety and rescue protocols and training
- Education experts with experience creating curricula to address the specific themes and activities in this statement of work.

Organizational Capacity and Record on Previous Awards – 25 points: The organization has expertise in its stated field and has the internal controls in place to manage federal funds.

- Provide a description of the applicant organization – including its general purpose, goals, annual budget (including funding sources), and major past and current activities and projects undertaken.

- Discuss the applicant organization's experience with environmental, health, and/or sustainable development studies, including:
  - Experience conducting energy sector technical, policy, and/or academic in a foreign country, preferably where the applicant organization intends to implement activities;
  - Experience with assessing energy sector policies and plans and providing actionable recommendations for improvement; and/or
  - Experience working in cites/countries in which the applicant organization intends to implement activities.
- Discuss the roles and responsibilities of the project implementation team (prime applicant and key partners/sub-implementers/consultants.

Program Planning/Ability to Achieve Objectives – 15 points: Goals and objectives are clearly stated and program approach is likely to provide maximum impact in achieving the proposed results. The proposal should further outline the expected and achievable results for the project which could include suggestions in Section A. It should also outline the relevant and appropriate Main Activities to accomplish the goals and expected results, which could include those found in Section A4. Specifically, the proposal must contain indicative examples of target companies and jurisdictions and an indicative outreach plan. Explain the assumptions on which the success of the project depends, and the involvement of other stakeholders.

Budget – 10 points: The budget justification is detailed. Costs are reasonable in relation to the proposed activities and anticipated results. The budget is realistic, accounting for all necessary expenses to achieve proposed activities. Proposals keep estimated overhead and administrative costs as low as possible and have proposed expenditures that are reasonable, allowable, and allocable to the proposed project activities and reflect the applicant's understanding of the allowable cost principles established by Office of Management and Budget (OMB) in 2 CFR 200. Amount of funding contributed by the applicant, sub-awardees, and other partners shows a commitment to the success of the project.

Monitoring and evaluation plan – 15 points: Applicant demonstrates it is able to measure program success against key indicators and provides milestones to indicate progress toward goals outlined in the proposal. The program includes output and outcome indicators, and shows how and when those will be measured. Proposals should discuss how progress towards the expected results will be measured, as outlined by the Performance Indicators in Section A. Identify which performance indicators will be measured and how data on these indicators will be collected, analyzed, and used for program management. Present indicators linked to specific project objectives in table format and include source of data and proposed frequency of collection, which should be no less than quarterly. Applicant should set associated targets for the indicators that it proposes to achieve. Include an explanation of how data and information will be collected, analyzed and used, and how baseline measurements will be established.

Sustainability – 10 points: Provide an outline of how program activities will continue to have positive impact after the end of the program.

2. **Review and Selection Process**

A Grants Review Committee will evaluate all eligible applications. Before grants are awarded, the Bureau reserves the right to reduce, revise, or increase proposal budgets in accordance with the Bureau's program needs and availability of funds.

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

For any Federal award under a notice of funding opportunity, if the Federal awarding agency anticipates that the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity may include, over the period of performance (see §200.88 Simplified Acquisition Threshold), this section must also inform applicants:

i. That the Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

iii. That the Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. **Federal Award Notices**

The grant award or cooperative agreement will be written, signed, awarded, and administered by the Grants Officer. The assistance award agreement is the authorizing document and it will be provided to the recipient for review and signature by email. The recipient may only start incurring program expenses beginning on the start date shown on the grant award document signed by the Grants Officer.

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

Issuance of this NOFO does not constitute an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

Payment Method: The awardee(s) will be paid through the Payment Management System (PMS).

2. **Administrative and National Policy Requirements**

Terms and Conditions: Before submitting an application, applicants should review all the terms and conditions and required certifications which will apply to this award, to ensure that they will be able to comply. These include: 2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions, all of which are available at: https://www.state.gov/m/a/ope/index.htm
Note the U.S Flag branding and marking requirements in the Standard Terms and Conditions.

3. **Reporting**

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

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

1. **Progress Reports**: The recipient will provide ENR with quarterly reports, which include performance analysis that describes activities undertaken, progress toward Agreement objectives, compliance with the work plan agreed upon with ENR, challenges and responses taken/recommended responses, and proposed next steps. The recipient may propose additional strategies for monitoring results, developing communications, and disseminating lessons learned as necessary to account for the specific goals of the cooperative agreement. Quarterly reports will additionally provide a report of expenditures in the format of the sample summary budget. Quarterly reports will be submitted to ENR within 30 days after

the end of a quarter and will include reporting on the following:

- Significant activities of the period and how activities reflect progress toward achieving goals;
- Evaluation of progress on goals/objectives with quantitative and qualitative data, as appropriate;
- Any problems/challenges in implementing the project and a corrective action plan;
- Evaluation of accomplishments with quantifiable information on goals and objectives to date as available, including reporting on agreed-upon indicators;
- An update on expenditures during the reporting period;
- Supporting documentation or products related to project activities (such as surveys, travel, etc.); and
- Project Spotlight highlighting a significant area of progress under the agreement as well as photos of implementation.

2. **After Action Reports:** The Recipient will provide ENR with informal after-action reporting for each Recipient-organized activity, including an activity or event summary, key outcomes, lessons learned, and proposed next steps. Such reports can take the form of emails and will be submitted within 5 days of the completion of the activity or event.

3. **Financial Reports:** The Recipient is required to submit quarterly financial reports throughout the project period, using the Federal Financial Report form SF 425, as well as forms suggested by the Grants Officer Representative. If payment is made through the Payment Management System, all financial reports must be submitted electronically through the Payment Management System. The grantee is also required to upload to SAMS domestic a pdf version of all financial reports (Federal Financial report) they have submitted in the Payment Management System. Form FFR (SF-425) can be found on Department of State's website here: https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html.

4. **Final Report:** The final report will be due no later than 90 days after completion or termination of all project activities. The Final Report shall include the following elements: executive summary, successes, outcomes, best practices, how the project will be sustained, and a final financial report.

G. FEDERAL AWARDING AGENCY CONTACTS

Any prospective applicant who has questions concerning the contents of this NOFO should email them to: Jenna Schroeder SchroederJN@state.gov.

H. OTHER INFORMATION

H1. Conflict of Interest

In accordance with applicable Federal awarding agency policy, applicants must disclose in writing any potential conflict of interest to the Federal awarding agency or pass-through entity.

H2. Applicant Vetting

Applicants are advised that proposals will be evaluated against the potential risk that federal funds may inadvertently be passed to the wrong hands and that funds may benefit terrorists groups or their supporters. Applicants may be asked to submit information required by DS Form 4184, Risk Analysis Information (attached to this solicitation), about their company and its principal personnel. Vetting information is also required for all sub-award performance on assistance awards identified by DOS as presenting a risk of terrorist financing. When vetting information is requested by the Grants Officer, information may be submitted on the secure web portal at: https://ramportal.state.gov, via Email to RAM@state.gov, or hardcopy to the Grants Officer.

Questions about the form may be emailed to RAM@state.gov. Failure to submit information when requested, or failure to pass vetting may be grounds for rejecting your proposal.

H3. Marking Policy
Applicants are advised that recipients and sub-recipients of Federal assistance awards are subject to the State Department's Marking Policy. More information on this policy can be found on: https://www.state.gov/m/a/ope/index.htm

H4. Evaluation Policy
Applicants are advised that recipients and sub-recipients of Federal assistance awards are subject to the Department of State Evaluation Policy. More information on this policy can be found here: http://www.state.gov/s/d/rm/rls/evaluation/2015/236970.htm Further, recipient organizations are encouraged to conduct their own and/or independent evaluations on their Department of State funded programs to assess performance and outcomes.

H.5 Guidelines for Budget Justification
Personnel and Fringe Benefits: Describe the wages, salaries, and benefits of temporary or permanent staff who will be working directly for the applicant on the program, and the percentage of their time that will be spent on the program.

Travel: Estimate the costs of travel and per diem for this program, for program staff, consultants or speakers, and participants/beneficiaries. If the program involves international travel, include a brief statement of justification for that travel.

Equipment: Describe any machinery, furniture, or other personal property that is required for the program, which has a useful life of more than one year (or a life longer than the duration of the program), and costs at least $5,000 per unit.

Supplies: List and describe all the items and materials, including any computer devices, that are needed for the program. If an item costs more than $5,000 per unit, then put it in the budget under Equipment.

Contractual: Describe goods and services that the applicant plans to acquire through a contract with a vendor. Also describe any sub-awards to non-profit partners that will help carry out the program activities.

Other Direct Costs: Describe other costs directly associated with the program, which do not fit in the other categories. For example, shipping costs for materials and equipment or applicable taxes. All "Other" or "Miscellaneous" expenses must be itemized and explained.

Indirect Costs: These are costs that cannot be linked directly to the program activities, such as overhead costs needed to help keep the organization operating. If your organization has a Negotiated Indirect Cost Rate (NICRA) and includes NICRA charges in the budget, attach a copy of your latest NICRA. Organizations that have never had a NICRA may request indirect costs of 10% of the modified total direct costs as defined in 2 CFR 200.68.

"Cost Sharing" refers to contributions from the organization or other entities other than the U.S. Embassy.   It also includes in-kind contributions such as volunteers' time and donated venues.
Alcoholic Beverages: Please note that award funds cannot be used for alcoholic beverages.