



U.S. DEPARTMENT OF STATE
Bureau of International Narcotics and Law Enforcement Affairs (INL)
Notice of Funding Opportunity (NOFO)

Announcement Type:	Request for Federal Assistance Award Applications
Funding Opportunity Title:	<i>Partnership to Advance Research and Scientific Evidence (PARSE)</i>
Funding Opportunity Number:	DFOP0016713 (Formerly: INL24CA0085-KMDDL-PARSE-061324)
Program:	Global Justice and Security Sector Research
Should the program be marked SENSITIVE?	No
Catalog of Federal Domestic Assistance (CFDA) Number:	19.703 - Criminal Justice Systems
Total Funding Available:	\$2,887,000 U.S. Dollars
Funding Source:	Domestic-Funds
Application Ceiling:	\$2,887,000 U.S. Dollars
Application Floor:	At least \$1,000,000 U.S. Dollars
Anticipated Number of Awards:	One (1) award
Initial Project Implementation Length:	24 months
Estimated Project Start Date:	October 2024
NOFO Issuance Date:	June 13, 2024
Deadline for Submission of Questions:	July 15, 2024 by 11:59 PM EST via email

Deadline for Discussion Sessions:	Session one: June 26, 2024 Session two: July 15, 2024 Discussion sessions: During the posting period of this program, INL/KM will host two (2) discussion sessions open to any applicants that wish to join on June 26, 2024, and July 15, 2024. These discussion sessions will serve as an opportunity for applicants to hear from INL/KM about this project and ask questions about the anticipated project and its components. If you are interested in joining this discussion, please forward your name, organization name, email address, and phone number to the INL point of contacts listed on page one of this funding opportunity by June 24, 2024, for the June 26th session and July 11, 2024, for the July 15 session. Discussion session notes, questions, and answers will be posted as an attachment to this NOFO following the session on Grants.gov.
Deadline for Submission of Applications:	August 19, 2024 by 11:59 PM EST via www.grants.gov
Assistance Type:	Cooperative Agreement
Applicant Types and Eligibility Categories:	Organizations only. Refer to Section C: Eligibility Information for more information.
INL Points of Contact:	SiMonique Stallworth (StallworthS@state.gov) - Grants Officer Alejandra Bolanos (BolanosA1@state.gov) - Program Officer

BUREAU MISSION

The mission of the State Department’s Bureau of International Narcotics and Law Enforcement Affairs (INL) is to keep Americans safe by countering crime, illegal drugs, and instability abroad. The Bureau of International Narcotics and Law Enforcement Affairs (INL) is at the forefront of responding to these challenges, uniting these overarching themes through our foreign assistance programs, diplomatic engagement, and policy coordination.

INL’s foreign assistance programs are essential to advancing U.S. policy objectives. INL programs advance the following strategic goals:

- 1. Disrupt and reduce illicit drug markets and transnational crime to protect American lives and U.S. national security.**
- 2. Combat corruption and illicit financing to strengthen democratic institutions, advance rule of law, and reduce transnational crime and its enablers.**

- 3. Strengthen criminal justice systems to support stable, rights respecting partners.
- 4. Leverage learning, data, and resources – including people and funding – to advance INL’s mission and thought leadership on civilian security and justice on behalf of the United States.

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A. PROJECT DESCRIPTION

Introduction: The United States Department of State, Bureau of International Narcotics and Law Enforcement Affairs is seeking applications from qualified U.S. and non-U.S. based non-governmental (NGOs)/non-profit organizations or Educational Institutions for a Cooperative Agreement to implement a project entitled “Partnership to Advance Research and Scientific Evidence (PARSE)”.

The authority for this Notice of Funding Opportunity (NOFO) is found in the Foreign Assistance Act of 1961, as amended. Issuance of this NOFO neither constitutes an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

Overview:

The Bureau of International Narcotics and Law Enforcement Affairs (INL) of the U.S. Department of State announces an open competition for organizations to submit applications to implement the Partnership to Advance Research and Scientific Evidence (PARSE), a project to generate evidence-based research to counter crime, illegal drugs, and instability abroad. Expected results from this project are twofold. First the project should generate the identification of priority research themes, areas, or questions. Second, the project will enable the production of select synthesis reports and novel studies. Both results must fill public knowledge gaps by providing methodologically rigorous, relevant, actionable, and contextually diverse (international) insight on “*what works best*” to advance sustainable and effective criminal justice systems, approaches, and practices. Through actionable AND scientifically substantiated knowledge, the project results should be able to inform strategies or approaches to improve civilian security, mitigate internal and transnational threats and risks, and contribute to stable criminal justice institutions amongst U.S. partners abroad.

Applicants must be able to generate results that clearly, concretely, and compellingly convey evidence-based findings to non-scholarly audiences within the rule of law community. These audiences include but are not limited to law enforcement and justice sector officials as well as other decision makers and practitioners involved in policy formulation, program design, and strategic/operational/project/tactical implementation. Resulting research should also be framed by the possibility to extrapolate and adapt evidence-based and actionable findings to multiple countries and/or contexts. Additionally, the selected applicant (qualifying organization) should

expect to work in close cooperation with INL. To achieve this level of cooperation, INL expects, among other mechanisms, to hold weekly or bi-weekly meetings with the qualifying organization. Finally, contingent upon performance, relevance, and fund availability INL will consider the expansion of the project to develop additional research products and results (refer to Project Expansion Section).

Priority Region/Countries:

This project is globally focused. From inception, strong preference will be given to evidence-based products that are directly relevant to the criminal justice sectors and civilian security requirements in countries with INL programming. A list of countries INL partners with may be found at: [Bureau of International Narcotics and Law Enforcement Affairs – Work by Country - United States Department of State](#). A tailored list of priority countries or regions may be determined in close consultation with and upon approval of INL.

Problem Statement:

The rule of law community comprised by interdisciplinary scholars and academics, members of civil society, partner governments, and donors lacks evidence on the most effective ways to pursue work that is vital to stable and secure democracies, criminal justice sector governance, and citizen well-being. A knowledge-generating instrument is required to help bridge the well-known but extremely detrimental gap that exists between policy/practice and solid scientific evidence. The instrument should bring together this community to help define research questions/themes and find answers generative of scientific evidence on what is needed, including what risks exist and interventions are most needed, along with what works to, for example: confront synthetic drugs as a top public health and security concern; deliver civilian security solutions that are agile and respond to emerging challenges to the rule of law; counter ongoing efforts by malign actors to undermine the rule of law, civilian security, and multilateral institutions working to tackle crime, illegal drugs, and instability abroad; counter corruption by bolstering prevention and accountability capacities in the justice and civilian security sectors.

This project seeks to generate one of those much-needed opportunities for the global rule of law community to be informed by relevant (needed) and better (evidence-based) approaches to developing capacity of criminal justice institutions and enhancing safety and security of communities and partner countries around the world.

Project Vision:

Close collaboration with the public rule of law community contributes to a coordinated and public-facing effort that leverages learning, data, and resources to develop questions and fill gaps in overall scientific knowledge about “*what is most needed*” and “*what works best*” to counter crime, illicit drugs, and instability abroad. Additionally, commissioned research findings will facilitate the generation of follow-on research that, though not supported by this project, will encourage a sustained public effort to scientifically understand and effectively counter crime, illicit drugs, and instability abroad.

Project Goal(s) and Objectives:

Goal: A research partnership with a qualifying organization provides the public rule of law community with relevant and actionable evidence-based answers on which interventions are most needed and most likely to advance sustainable, effective, and criminal justice systems and approaches to civilian security.

Objective 1: The qualifying organization establishes a research committee to support the development of a learning agenda and priority research questions and to evaluate, manage, and/or produce select research products generated by this project.

Activity 1.1: The qualifying organization develops a plan to establish a research committee.

- This plan will explicitly detail: the committee's goals, objectives and activities; the roles and responsibilities of members; the committee's optimal size; the minimum professional and scholarly criteria for prospective members; the maximum term served on the committee by each member; and the mechanisms by which the committee configuration will adhere to best practices on diversity, equity, inclusion, and accessibility.
- The plan will also clearly stipulate the mechanisms used to ensure that the committee reflects diverse academic disciplines and complementary points of view. This may be accomplished through permanent and rotating committee membership. The plan will detail how members will rotate out, and how new members will be recruited to the committee.
- The plan will establish a clear and efficient timeline for all activities required for the successful establishment of the committee.

Activity 1.2: The qualifying organization presents its plan to establish the research committee for INL consultation and approval.

Activity 1.3: The qualifying organization develops a shortlist of interdisciplinary scholars interested and qualified to become members of the initial research committee.

Activity 1.4: The qualifying organization presents INL with the shortlist of prospective committee members alongside a concrete and compelling rationale of why each of these candidates optimally meets the desired criteria as stipulated in the plan (Activity 1.1).

Activity 1.5: Upon INL's approval, the qualifying organization formally establishes the research committee and works closely with its members to ensure that all the committee's goals, objectives, and activities are achieved and performed effectively, efficiently, and at the highest standards of professional quality.

Objective 2: The qualifying organization and research committee develops a learning agenda for the public rule of law community that identifies research priorities.

Activity 2.1: The qualifying organization, led by the research committee, conducts a review of the existing research and consults with relevant practitioners to identify gaps in knowledge/evidence (topically and geographically) that can be included and prioritized a learning agenda.

Activity 2.2: In consultation with INL, the qualifying organization and research committee develops a learning agenda that identifies globally representative research questions or themes to be prioritized and categorizes them as synthesis studies (reports) or novel studies (reports).

- If evidence already exists on “*what is most needed*” AND “*what works best*” to address gaps or problems, the committee will propose the production of synthesis reports that systematically and clearly distill this existing evidence.
- If there is insufficient evidence to properly understand the mechanism on how to effectively address a criminal justice need, the committee will propose the development of novel research products (reports).
- There may be scenarios where these products overlap when, for example, while completing a synthesis report, relevant research questions are identified that may be filled through a novel study. The learning agenda plan may describe such scenarios and propose ways forward on these.

Activity 2.3: The qualifying organization/research committee, upon INL approval, presents a final learning agenda to members of the rule of law community.

- The qualifying organization/research committee and INL closely cooperate to include iterative updates to the learning agenda and select specific research areas to be given priority during the production of research reports. Any change to the agenda will be submitted to INL for final approval of latest version on record and to the rule of law community for public advancement.

Objective 3: The qualifying organization/research committee produces plans to develop or solicit reports internally or from the broad research community.

Activity 3.1: The qualifying organization/research committee, upon close consultation with INL, develops plans to generate selected/specific research report. Strictly based on future funding availability, INL envisions that additional reports may be commissioned.

- Each plan may propose to produce a report either internally or through a call for proposals that may result in the organization/committee partnering with or entirely assigning work to another organization, team, or researcher.
- As part of each plan, the qualifying organization/committee will ensure that the mechanism used to put forth the call guarantees that the potential research candidates are aware a full range of scientific design and methods that may be used to effectively answer the research question, that researchers are solicited from a diverse range of academic disciplines, and that the proposal candidates are aware of the clarity, practitioner-oriented applicability, and relevance requirements for their research.
- The qualifying organization/committee will also ensure that the opportunity to submit proposals is advertised and communicated to minority serving institutions, groups that have been historically underrepresented among scholars in their disciplines, and researchers and research institutions in countries where INL works.

Activity 3.2: The qualifying organization presents each plan to produce any synthesis report and novel study to INL for iterative consultation and submits it for final INL approval.

Objective 4: The qualifying organization and research committee reviews and awards suitable proposals for novel studies and manages the production of synthesis reports.

Activity 4.1: The qualifying organization/research committee develops a scoring rubric to assess the strength of each proposal. The rubrics will be presented to INL for collaborative feedback and for final approval.

Activity 4.2: The qualifying organization/research committee will put forth and manage call/s for proposals.

- Upon approval by INL, calls for proposals may be announced concurrently and/or on a rolling basis. Each call for proposals will seek to answer agreed upon questions related to or directly derived from the learning agenda's priorities.
- In the event of insufficient number of submissions, or unsatisfactory quality of proposals and upon INL's approval, a call for proposals may be extended, revised, or cancelled.

Activity 4.3: The qualifying organization/research committee reviews submitted proposals and identifies a short-list of final candidates. Concurrently, INL will conduct a similar but internal review informed by the rubric developed by the committee.

Activity 4.4: The committee consults with INL on which submissions will be accepted under a given call for proposals. A list of select submission finalists will be sent to INL for final approval.

Activity 4.5: The qualifying organization notifies candidates of the final decisions.

Activity 4.6: If synthesis reports are developed internally, the qualifying organization ensures the initiation of these, according to the plan to generate these reports (Activity 3.1).

Objective 5: The qualifying organization/research committee monitors and reviews the development and completion of the research products (synthesis reports or novel studies).

Activity 5.1: The qualifying organization and research committee, in consultation with INL, develops a plan to monitor the timely and quality completion of all research products commissioned by this project, and to ensure that all products follow standard formatting and/or INL approved templates.

Activity 5.2: The qualifying organization and research committee monitors selected individual and/or organization progress towards completion of research products.

Activity 5.3: The qualifying organization provides quarterly evidence briefings to INL on any interesting findings emerging from commissioned research products.

- These briefings provide a timely opportunity for INL to learn along the way. INL may ask clarifying questions but will refrain from subjectively influencing conclusions or findings that should be exclusively derived from the application of methodological rigor. Illustrative examples of briefing content are significant studies that have been included in synthesis reports, any emerging trends, promising intervention approaches, or new gaps being identified, and analytical themes emerging from novel studies.

Activity 5.4: The qualifying organization and research committee, in consultation with INL, provides feedback on final draft submissions of research products.

Activity 5.5: The qualifying organization submits final research products for INL record.

Objective 6: The qualifying organization and research committee publicly disseminates findings from commissioned research products.

Activity 6.1: The qualifying organization/research committee develops a plan to strategically disseminate findings from research products through open-source publications, seminars, conferences, and/or other fora. Preferably, dissemination efforts will foster a dialogue between researchers and practitioners and will be tailored to bridge the knowledge gap between these two groups.

- The plan will explicitly and clearly identify the relevance and concrete objective of each dissemination effort.
- The plan will identify the appropriate target audience for each type of dissemination effort.
- The plan will include a section that describes how the dissemination effort, and its results will be measured and reported (e.g. through the collection of metrics on downloads, conference surveys, pageviews, amount of audience engagement, etc.). A discussion of outcomes (and possible impact) will be required as part of this plan, describing the change sought through a given dissemination effort, and how this change will be measured and reported.

Activity 6.2: The qualifying organization presents its dissemination plan to INL for consultation and approval.

Activity 6.3: The qualifying organization disseminates research findings, notifies INL of each time this is done, and, upon INL request, produces an agreed upon reporting mechanism to submit success stories, outcomes, and metrics associated with the dissemination efforts.

Project activities and deliverables:

Refer to “Project Goal and Objectives” for an explanatory list of activities under each objective. Any list of expected project deliverables will include, at a minimum:

- a plan to establish a research committee and shortlist of scholars, including future shortlists for any new members that may be nominated as a result of rotation.
- an initial learning agenda, and any future versions of these;
- individual plans to generate and solicit each research product (synthesis reports and novel studies);
- individual plans to monitor, standardize, and evaluate research products commissioned under this project;
- quarterly briefings on “interesting emerging evidence.”
- finalized research products (synthesis reports and novel studies);
- plan to disseminate research findings and monitor results from the dissemination efforts;
- notifications of each dissemination effort;

- and succinct reporting on dissemination outcomes and possible impact.

Applicants will refer to the project goal, objectives, activities, and expected deliverables in their determination of a project budget. INL expects that the qualifying organization will initially dedicate part of the resources to process-oriented activities such as setting up the committee, identifying research areas/themes/questions, collaborating with INL to determine which of these areas will be prioritized for the development of research products. INL also expects that no less than \$495,000.00 will be devoted to research on countering ongoing efforts by malign actors to undermine the rule of law, civilian security, and multilateral institutions working to counter crime, illegal drugs, and instability abroad within the initial period of performance (POP). Strictly based on available funding, INL envisions that once some reports have been produced as proof-of-concept, additional funds could be assigned for research products under this grant's POP.

Examples of illustrative outcome indicators for the project are provided below. The qualifying organization is expected to clearly define indicators, some of which can be crafted as milestones. The organization should also set preliminary targets based on what it can reasonably achieve within the performance period of the project, and on the planned goal(s), objectives, and activities. The qualifying organization may also propose additional or alternate indicators and targets.

<i>Illustrative Outcome Indicators</i>	<i>Illustrative targets:</i>
Rate of novel studies commissioned to those completed and made public	
Rate of synthesis reports commissioned to those completed and made public	
Number of follow-on research generated by commissioned research products	

Examples of illustrative output indicators for the project are provided below. The qualifying organization is expected to define illustrative indicators and targets based on what it can reasonably achieve within the performance period of the project, and on the planned goal(s), objectives, and activities. The qualifying organization may also propose additional or alternate indicators and targets.

<i>Illustrative Output Indicators</i>	<i>Illustrative targets:</i>
Number of novel studies made public	
Number of synthesis reports made public	
Number of participants in dissemination efforts	

Participants and Audiences:

In general, the primary audience for research is the public rule of law community (in terms of disseminating findings from commissioned research) and INL (in terms of the delivery of completed reports and studies). See explanatory list of project activities under "Project Goal and Objectives" for details about the expected participants in and intended audience for various project activities.

Project Expansion:

Based on recipient/project performance, and subject to future funding availability, INL may consider the option of an award modification to include additional work within existing activities or additional activities relevant to the project's goal and objectives. Applicants may include in their proposal a brief section outlining how additional funds could potentially be used to generate additional outcomes or influence additional/broader impact. Applicants are strongly encouraged to demonstrate how their project might leverage funding through other organizations.

B. FEDERAL AWARD INFORMATION

Applicants are encouraged to reference the table on the first page(s) of this NOFO to determine the basic federal award information (e.g., project length, amount of funding available, anticipated number of awards, assistance type, etc.). Additional award information is included in this section, although specific aspects of the award(s) issued from this NOFO may differ from program to program.

1. Project Implementation Period

The initial project implementation length is the amount of time (e.g., months) applicants should plan to implement the project. If a range of months is listed, applicants should propose a realistic project length within that range.

INL may extend the project implementation period, contingent on INL priorities, good performance of the recipient, Department of State management approvals, and funding availability. INL projects shall not exceed five (5) total years of project implementation.

2. Assistance Type

The type of assistance is determined by scope of INL's involvement in the implementation of the project. Refer to the table on the first page(s) of the NOFO to determine whether this particular project will be a grant or cooperative agreement.

As a cooperative agreement, INL/KM will be substantially involved at different points of this project. Substantial involvement in this project is in addition to standard oversight, monitoring, and administration of federal awards and unanticipated actions to correct recipient performance or administrative deficiencies identified during the implementation of the award.

Substantial involvement from INL/KM includes but is not limited to active participation or collaboration with the recipient in the implementation of the award; review and approval of one stage of work before another can begin; review and approval of all proposed sub-awards; joint preparation or presentation of results with the recipient; and/or involvement where INL requires specific oversight over the award beyond normal monitoring.

Cooperation and consultation are expected for most work performed under this award, including but not limited to configuration of the committee, learning agenda development, review of all plans, extending, revising or cancelling calls for research proposals, rubric development, feedback on draft submissions, and review of dissemination plans. Other examples of substantial involvement by INL may include, but are not limited to, reviewing and approving key project deliverables, project materials, and evaluation plans of sub-recipients.

See below for specific substantial involvement decision points where INL/KM approval will be required. These may be further refined in consultation with the recipient, or in response to performance issues.

Approval from INL/KM will be required to:

- plan for and establishment of the initial research committee, including any new members;
- finalize the learning agenda, any plans to update this, and any updates of this;
- finalize plans to generate synthesis reports and novel studies;
- finalize scoring rubrics for commission products proposals;
- finalize the list of accepted submissions under a given call for proposals;
- finalize plans to disseminate and monitor commissioned research products.

3. Funding Notices

This award will be supported with International Narcotics Control and Law Enforcement (INCLE) funds under the Foreign Assistance Act of 1961. This notice is subject to availability of funding.

Length of performance period: 24 months

Anticipated program start date: October 1, 2024

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

Award amounts: awards may range from a minimum of \$1,000,000 U.S. Dollars to a maximum of \$1,795,000 U.S. Dollars

Total available funding: \$1,795,000 U.S. Dollars

Type of Funding: FY23/24 INCLE Funds

C. ELIGIBILITY INFORMATION

1. Eligible Applicant Types

The following organizations are eligible to apply:

- U.S.-based non-profit/non-governmental organizations (NGOs);
- U.S.-based educational institutions subject to section 501(c)(3) of the U.S. tax code or section 26 US 115 of the US 115 of the U.S. tax code;
- Foreign-based non-profits/non-governmental organizations (NGOs);
- Foreign-based non-profit educational institutions.

Applicants must also meet the following capacity requirements to apply for this NOFO:

- Demonstrate, through examples of any previous partnerships or projects, a substantial capacity to manage multiple research products at any given time, in various national and international locations, and with several individuals/groups/institutions working to generate those products.
- Demonstrate capacity to manage and produce high quality research and research products by submitting samples of a learning agenda, a plan to generate synthesis reports, and a plan to generate novel studies. See “Sample Learning Agenda” and “Sample Research Plans” for more information.

2. Cost Sharing or Matching

Cost share is the portion of project costs not borne by the U.S. government. Cost share is recommended but not required for this project. **Applicants must be able to ensure cost share is accounted for/tracked through accounting systems and/or supporting documentation (such as Personnel Activity Records, proof of voluntary hours, proof of any purchases for materials being included as cost share, etc.)**

Any cost share proposed must be appropriately captured within the SF-424A, budget, and budget narrative.

3. Other Eligibility Requirements

- In order to be eligible to receive an award, all organizations must have a unique entity identifier (also known as UEI), as well as a valid registration on www.SAM.gov. Individuals are not required to have a unique entity identifier or be registered in SAM.gov. Refer to Section D for additional guidance.
- Applicants are only allowed to submit one proposal per organization. Organizations may form a consortium and submit a combined proposal, however one organization should be designated as the lead applicant and other organization(s) listed as sub-recipient partner(s).
- To be eligible to receive a federal assistance award, organizations must have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. INL is committed to an anti-discrimination policy in all of its programs and activities. INL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status.
- All applicants must provide a workplace free from harassment and bullying for all individuals, including but not limited to cooperative agreement/grant personnel and INL personnel.
- Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in any sub-awards issued under this grant award.

Note: Public International Organizations (PIOs) and For-Profit Organizations are excluded from applying to INL grant/cooperative agreement announcements.

D. APPLICATION AND SUBMISSION INFORMATION

Applicants should carefully follow all instructions in this section to ensure their application is formatted properly and includes all required documents. Proposals that do not meet the requirements of this announcement or fail to comply with the stated requirements will be deemed ineligible for review.

1. How to Apply and Submit Questions

This opportunity is posted on www.grants.gov, along with all required application forms and, where applicable, templates for application documents. Applications and all supporting documents must be submitted via www.grants.gov. INL reserves the right to reject any applications submitted through improper channels.

Applicants are encouraged to closely review the NOFO and email questions to the INL points of contact by the deadline listed on the first page(s) of this document. After the question deadline has passed, INL will respond to all questions publicly through a Questions & Answers document uploaded to the Related Documents tab of this opportunity.

2. Required Application Documents

All documents in the following list must be included in your application, unless explicitly listed as optional. If a document includes a page limit, please adhere to that limit in your application. Applicants that do not submit all required documents will be notified via email of their ineligibility after the application deadline.

Standard Application Forms

- ☐ **SF-424 (Application for Federal Assistance – Organizations)**
 - Must be signed by an authorized signatory of the applicant’s organization.
- ☐ **SF-424A (Budget Information for Non-Construction Programs)**
- ☐ **SF-424B (Assurances for Non-Construction Programs) – Optional**
 - The SF-424B is only required for applicants who are not registered in SAM.gov.

Project Proposal

The proposal should contain sufficient information that anyone not familiar with it would understand exactly what the applicant is proposing to do. The following documents may be submitted separately or combined into one document. If combined, please be sure to adhere to the page limits for each section.

- ☐ **Proposal Narrative – *Maximum 20 pages* (including Cover Page, Table of Contents, and Executive Summary)**

Applicants may use their own proposal template, but it must include all the sections below. Refer to Appendix A for additional guidance on drafting a proposal narrative.

 - **Cover Page:** include organization name, project title, requested number of months, the range of target countries (with emphasis on where INL works), point(s) of contact, and requested funding amount.
 - **Table of Contents:** list all documents and attachments with page numbers.
 - **Executive Summary:** Provide a synopsis of the project.
 - **Project Context:** Include an analysis of the degree to which rule of law practitioners have access to evidence to enable decision making, the implications for this level of access, and what successful change looks like; suggested approaches and solutions (with evidence to support suggestions); and suggestions for appropriate revisions to the NOFO’s activities and, if necessary, slight modification to the project goal and objectives.

- **Theory of Change & Implementation Plan:** Describe the implementation plan (specific activities to implement suggested solutions); explain how or why they should result in accomplishment of the project goals and objectives (i.e., the theory of change). Projects should be designed such that activities, if implemented according to plan, should result in achievement of project objectives; and objectives, if achieved, should result in achievement of project goal. The Theory of Change should clearly demonstrate this causal logic. Finally, discuss likely challenges to implementation, including any risks of harm to project implementers or participants, along with mitigation strategies. The Theory of Change may also propose (with supporting reasoning) appropriate revisions to the project's activities so that the project's objectives and goal may be better achieved.
- **Gender, Equity, and Inclusion Analysis:** Include in your proposal an analysis that addresses the ways in which women, gender diverse persons, and members of other marginalized and underrepresented groups (as specified in the "Participants and Audiences" section above) might affect and be affected differently by your work, including a consideration of their safe and meaningful participation. Strengthen your proposal by incorporating the results of this gender, equity, and inclusion analysis into your project design. Include a description of how you will minimize any inequities and identified potential risks.
- **Description of Prior Work:** Provide brief descriptions, including outcomes and deliverables, of any similar projects the organization has implemented. Provide samples of workplans, see "Sample Learning Agenda" and "Sample Research Plans" for more information.
- **Future Funding Plan/Sustainability:** Briefly discuss the plan for ensuring the sustainability of the project and any research commissioned under it (i.e., the anticipated ripple effect of the project and its products beyond the grant's period of performance).

☐ **Performance Monitoring Plan**

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

- **Change Map (see template) or equivalent**
- **Illustrative Performance Indicator Reference Sheet (see template)**

Note 1: If full performance monitoring information is not available at the time of the proposal, applicant should indicate that the indicators and associated information are notional. If selected, a final version of the documents will be required as an early deliverable.

Note 2: INL may require the grantee to report quarterly performance report information in INL's DevResults database.

☐ **Project Risk Analysis**

A template is included under the Related Documents section of this NOFO announcement on www.grants.gov. Refer to Appendix B for additional guidance on drafting a Project Risk Analysis.

☐ **Timeline**

- ☐ Outline key milestones in the project, project start-up, and closeout, programmatic activities, and monitoring and evaluation activities (e.g., monitoring trips or semi-annual reviews). The timeline must explicitly mark key decision points where INL approval will be required. Points for INL consultation may be excluded from the timeline. See “Assistance Type” for more information on substantial involvement. The timeline may be submitted as a written schedule and/or a GANTT chart.

Organization, Staff, and Partners

The following documents may be submitted separately or combined into one document. If combined, please be sure to adhere to the page limits for each section.

☐ **Biographical Information of Applicant Organization – *Maximum 4 pages***

- Introduce the applicant organization, including biographical information such as mission statement, organization size, relevant office location(s), etc.
- Provide a summary description of past and present operations, demonstrating the applicant’s ability to carry out the project.
- Describe organizational experience in managing multiple research products at any given time, in various national and international locations, and with several individuals/groups/institutions working to generate those products.
- Confirm where the organization is a registered business entity (include all countries).

☐ **List of Key Personnel – *Maximum 3 pages***

- Names, titles, responsibilities, and relevant experience or qualifications of key personnel involved in the management of the project.

☐ **Partner Information – *Maximum 3 pages***

- Introduce and provide relevant information about key partner organizations and sub-awardees.
- Briefly describe the division of labor and/or distinct roles and responsibilities among the applicant organization and its partners.
- If proposing a sub-grantee, please briefly describe the applicant organization’s experience related to managing sub-recipients.

☐ **Sample Learning Agenda**

- One sample learning agenda demonstrating applicant’s capacity to define research priorities, explain the rationale for the priorities, and develop a research agenda that tackles these priorities – *Maximum 5 pages (may submit draft or working agendas)*

☐ **Sample Research Plans**

- One sample research plan to generate synthesis reports. – *Maximum 5 pages*
 - o While a synthesis report systematically reviews and distills research findings on a given topic, the sample plan will detail the applicant’s process for how these reports may be solicited, commissioned, managed,

and submitted, and in a manner that ensures high standards for quality control, rigor, and expertise. This plan must detail who will ideally produce these reports (scholars, graduate students, professionals, and so on) and reasoning for why. And it will clarify the applicant's position on whether reports are produced internally, externally, or through some blended effort, providing supporting reasoning for this position.

- **OPTIONAL:** One example of a complete synthesis report managed by the applicant. In lieu of a final and published report, applicants may submit a complete draft of a working report, or an unpublished report (e.g., meant for internal circulation), noting the status of the report as such. – *Maximum 5 pages*
- One sample research plan to generate novel studies. – *Maximum 5 pages*
 - This plan will detail the applicant's process for how original research based on a clearly defined topic and research question will be solicited, commissioned, managed, and submitted, and in a manner that meets high standards for quality control, rigor, and expertise. This plan must also detail how networks of interdisciplinary and diverse scholars will be identified, maintained, and managed to help produce new research and evidence.
 - **OPTIONAL:** One example of a completed novel study managed by the applicant. If the paper is not published through peer-review, applicants may submit a complete draft of a working paper, or an unpublished paper (e.g., under 'review', or under 'revise and resubmit'), noting the status of the paper as such. – *Maximum 20 pages*

☐ **Letters of Support – Optional**

- If desired, applicants may submit letters of support from project partners, host government entities, or other relevant stakeholders.

Project Budget and Cost Documents

☐ **Summary and Detailed Budgets**

A proposal budget must be submitted in spreadsheet format (e.g., Microsoft Excel). A template is located under the Related Documents section of this NOFO announcement on www.grants.gov for applicants as a reference. Refer to Appendix C for additional guidance on drafting a proposal budget.

- One tab of the spreadsheet shall contain the Summary Budget, which lists the OMB-approved budget categories and total estimated cost per category
- One tab of the spreadsheet shall contain the Detailed Budget, which breaks down the OMB-approved budget categories into individual line items and provides detailed cost estimates per line item
- If applicable, federal costs and recipient cost share must be reported in separate columns.
- The proposed budget must be able to designate no less than \$495,000.00 U.S. Dollars in funding for research on countering ongoing efforts by malign actors to undermine the rule of law, civilian security, and multilateral institutions working to counter crime, illegal drugs, and instability abroad.

☐ **Budget Narrative**

The Budget Narrative is a companion document to the summary and detailed budgets, and must be submitted in word document format. A template is included under the Related Documents section of this NOFO announcement on www.grants.gov. Refer to Appendix_C for additional guidance on drafting a Budget Narrative.

- The Budget Narrative should communicate to INL any budgetary information that is not readily apparent in the detailed budget. Rather than simply repeating with words what is stated numerically in the budget, the Budget Narrative should explain the logic behind the amount budgeted for each line item.
- The narrative will describe how the applicant plans to sub-award funds under this grant to compensate sub-grantees generating synthesis reports (if produced by an external individual or group), to award submissions for novel studies that are accepted under a given open call for proposals, and to conduct various research dissemination activities. And it will estimate how many of each type of research product can be expected in a given year and at what cost, along with reasoning for these estimates.
- If applicable, proposed recipient cost share must be included in the Budget Narrative, including reference to the source of the cost share.

☐ **Indirect Costs**

Negotiated Indirect Cost Rate Agreement (NICRA):

- If the applicant has an approved Negotiated Indirect Cost Rate Agreement (NICRA) and includes NICRA charges in the budget, a copy of the organization's most-recent NICRA **must** be included in the application
- If the applicant is proposing a sub-recipient that has an approved NICRA, and includes NICRA charges in the sub-award budget, a copy of the sub-recipient organization's most-recent NICRA **must** be included in the application

10% de minimis Rate:

- The applicant can elect to charge a de minimis rate of 10% of modified total direct costs (MTDC), which is allowable if the organization does not have a current agreement. (*Please see Appendix C: Budget and budget narrative for more information regarding the 10% de minimis rate.*)
- If the applicant elects to utilize the 10% de minimis rate, that rate is then applicable for the entire period of performance of that award. Should the applicant negotiate and obtain a NICRA, it may **not** be applied to an award already using the 10% de minimis rate.

Applicant Management Capabilities

INL must assess each potential applicant for organizational risks related to the financial and programmatic management of a federal assistance project.

☐ **History of U.S. Government Federal Assistance Awards**

This document outlines the applicant organization's experience with implementing U.S. government-funded federal assistance awards, including current and completed projects.

- The list should include the awarding agency, point of contact, name of the project, start and end dates, and amount of the award.
- If the applicant has never received a U.S. federal assistance award, please list other projects the organization has implemented, including the information requested in the bullet above.

☐ **Organizational Audit**

- If the applicant organization is required to undergo an audit (per regulations outlined in 2 CFR 200.500 – Subpart F), a complete copy of the organization’s most-recent audit must be submitted. (The financial statement is not a substitute for a single audit report. The Single audit report is an additional requirement for domestic and foreign organizations that spend \$750,000 or more in federal funds in the fiscal year.)
- If the applicant organization is not required to undergo an audit (per the regulation cited above), a brief explanation must be submitted with the application. This explanation shall include confirmation that the organization is under the threshold for which an audit is required and/or plans for the organization to undergo an audit in the future.
- Responses to the Pre-Award Risk Survey in reference to the Organizational Audit does not satisfy this requirement. Please provide the required explanation in addition to the Pre-Award Risk Survey.

☐ **INL Applicant Pre-Award Risk Survey**

This risk survey reviews the applicant organization’s financial capacity, policies, and infrastructure. A template is included under the Related Documents section of this NOFO announcement on www.grants.gov.

- Please take note of the questions within the survey that request additional documentation. These documents must be included in the application.

3. Document Formatting

Applicants must ensure that their application documents conform to the following requirements:

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

4. Required Entity and Account Registrations for Applicants

All prospective applicant organizations must register and/or maintain active registration in the systems outlined below in order to submit an application to this NOFO.

Organizations that are first-time applicants may need to register and/or create accounts in these systems. INL encourages prospective applicants to initiate these registrations as soon as

possible. Applicants that have previously applied to other opportunities may already have registrations and/or accounts in the necessary systems, though applicants should ensure their registrations are active.

Registration in these systems is free of charge; Applicants will never be asked to pay a fee to register or submit an application in these systems.

Unique Entity Identifier

Organizations must have a UEI which will be automatically assigned by SAM.gov.

- If your organization does not have a UEI already, you may obtain one by calling 1-866-705-5711 or submitting a request at <http://fedgov.dnb.com/webform>.

Effective April 4, 2022, the DUNS Number will be replaced by the Unique Entity Number (UEI) as the primary means of entity identification for all federal awards U.S. government wide. A DUNS number is no longer required for federal assistance applications. For more information, please go to the following link: https://www.fsd.gov/gsafsd_sp

NCAGE Code

Organizations physically located outside the United States and its territories must also register for an NCAGE code. This request can be completed simultaneously with a UEI request. (Note: CAGE codes for US-based entities will be automatically assigned in SAM.gov).

- NCAGE application: <https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>
- NCAGE application instructions: <https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf>

Help with NCAGE Code registration issues:

- Call 1-888-227-2423 (callers within the U.S.)
- Call 1-269-961-7766 (callers outside the U.S.)
- Email NCAGE@dlis.dla.mil

System for Award Management (SAM.gov)

Prior to submitting an application in grants.gov, organizations must register in SAM.gov and/or ensure that their SAM.gov registration is active. Organizations are required to renew their SAM.gov registration annually.

- Initiate the registration or renewal process at <https://www.SAM.gov>. Select “Entity Registration” to begin the registration or renewal request.
- First-time applicants should initiate the SAM.gov registration after receiving their UEI and, if applicable, NCAGE Code (for foreign organizations). CAGE codes will be automatically assigned to US-based organizations.

Note: The process of obtaining or renewing a SAM.gov registration may take anywhere from 4-8 weeks. Please begin your registration as early as possible.

- Organizations **based in the United States** or that pay employees within the United States will need an Employer Identification Number (EIN) from the Internal Revenue Service

(IRS), a Commercial and Government Entity (CAGE) code, and a UEI number prior to registering in SAM.gov.

- Organizations **based outside of the United States** and that do not pay employees within the United States do not need an EIN from the IRS, but do need a UEI number prior to registering in SAM.gov. **Please note that as of December 2022, organizations based outside of the United States that do not intend to apply for U.S. Department of Defense (DoD) awards are no longer required to have a NATO CAGE (NCAGE) code to apply for non-DoD foreign assistance funding opportunities. If an applicant organization is mid-registration and wishes to remove an NCAGE code from their sam.gov registration, the applicant should submit a help desk ticket (“incident”) with the Federal Service Desk (FSD) online at www.fsd.gov to seek guidance on how to do so.**

Any applicant listed on the Excluded Parties List System (EPLS) in SAM.gov is not eligible to apply for an assistance award. Additionally, no entity listed on the EPLS can participate in any activities under an award. All applicants are strongly encouraged to review the EPLS in SAM.gov to ensure that no ineligible entity is included in their proposal.

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

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

D.3.1 Exemptions

An exemption from these requirements may be permitted on a case-by-case basis if:

- An applicant’s identity must be protected due to potential endangerment of their mission, their organization’s status, their employees, or individuals being served by the applicant.
- For an applicant, if the Federal awarding agency makes a determination that there are exigent circumstances that prohibit the applicant from receiving a unique entity identifier and completing SAM registration prior to receiving a Federal award. **In these instances, Federal awarding agencies must require the recipient to obtain a unique entity identifier and complete SAM registration within 30 days of the Federal award date.**

Organizations requesting exemption from UEI or SAM.gov requirements must email the point of contact listed in the NOFO at least **two weeks prior to the deadline in the NOFO providing a justification of their request**. Approval for a SAM.gov exemption must come from the warranted Grants Officer before the application can be deemed eligible for review.

Note: *As of December 2022, organizations based outside of the United States that do not intend to apply for U.S. Department of Defense (DoD) awards are no longer required to have a NATO CAGE (NCAGE) code to apply for non-DoD foreign assistance funding opportunities.*

Grants.gov

To submit an application to this NOFO, applicants must register in grants.gov.

- Go to www.grants.gov and select “Register” from the banner at the top of the page.
- This should be the last step of the entity registration processes, completed after obtaining a UEI number, NCAGE/CAGE Code (if applicable), and SAM.gov registration.

Help with grants.gov registrations and application submission:

- Go to the grant.gov support page at <https://www.grants.gov/web/grants/support.html>
- Call +1 800-518-4726
- Email support@grants.gov

It is the responsibility of each applicant to ensure that its application was submitted in www.grants.gov correctly. INL bears no responsibility for errors resulting from transmission or conversion processes associated with application submissions. If applicants are unable to resolve technical issues in the system, they should email the INL points of contact listed on the first page(s) of this NOFO with an explanation of the issue and proof of attempts to resolve it (e.g., emails with grants.gov support). INL Grants Office will then determine whether the applicant is allowed to submit application materials via email.

E. APPLICATION REVIEW INFORMATION

1. Technical Evaluation Criteria

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

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

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

Applicant Evaluation Criteria:

Total Possible Score – 100

- **10 points** – Applicant’s engagement with the project’s problem statement is insightful and clear.
 - This includes an analysis of the underlying premise of the problem statement (i.e., there is a gap between evidence-based knowledge and the adoption of adequate professional practices in the criminal justice system), how the applicant’s proposed project will help close gaps between practice and research, and what success for the project looks like.
- **20 points** – Applicant demonstrates a dedicated capacity to:
 - recruit diverse and expert scholars to this project to serve on interdisciplinary research committee; and

- leverage existing (or to-be-hired) personnel and staff to carry out all requirements of a federally funded grant and the different phases of this work with utmost professionalism and efficiency.
- 15 points – The sample learning agenda demonstrates the applicant’s significant capacity to:
 - define priority research areas along with reasoning for why these areas based on greatest need among rule of law practitioners and the state of research knowledge;
 - propose research processes to cover each of those priorities, including preferred research approaches for each (qualitative, quantitative, theoretical, mixed, and so on), and reasoning for why these methods are preferred;
 - establish research processes that are feasible (in terms of budget) and rigorous (in terms of design, method, and presentation of findings); and
 - showcase writing skills that communicate effectively with a general or practitioner audiences.
- 15 points – The sample research plan to generate synthesis reports demonstrates the applicant’s significant capacity to:
 - present a well-reasoned process for how reports will be solicited, commissioned, and managed;
 - set appropriate standards of quality, rigor, and expertise to which these reports will adhere; and
 - establish who will produce these reports, and the standards by which they will be selected to ensure quality, rigor, and expertise.
- 15 points – The sample research plan to generate novel studies demonstrates the applicant’s significant capacity to:
 - present a well-reasoned process for how studies will be solicited, commissioned, and managed;
 - set appropriate standards of quality, rigor, and expertise to which these reports will adhere; and
 - establish and/or leverage existing interdisciplinary networks of relevant and diverse scholars to conduct and complete original research.
- 5 points – Applicant’s risk and harm assessment is thorough and realistic. The risk assessment describes expected challenges in the project’s workflow and operating environments and proposes adequate mitigation of these. A thorough harm analysis will include possible harm to any participants in the project and in studies funded by the project. This includes:
 - a discussion of how all participation in the project and any commissioned research will be in line with Do No Harm principles;
 - specifying plans to mitigate potential harm caused to participants in the treatment or control groups and to any persons not participating in experiments but directly or indirectly affected by them, if the applicant’s proposal envisions commissioning any studies using experimental research methods, such as a randomized controlled trials (RCT) through field experiments; and
 - addressing overall measures to be taken to protect participating persons and vulnerable populations directly or indirectly affected by research commissioned under this project (e.g., clearing a proposed novel study with a reputable Institutional Review Board, depending on the study’s design).

- 20 points – All estimates for costs are necessary, justified, realistic, and reasonable given the amount of work and oversight needed to manage the production and dissemination of different types of research products.

Throughout the technical evaluation of submitted applications, careful consideration will be given to applicants' capacity for clear communication. That is, whether an applicant demonstrates a commitment to and capacity for communicating technical information in a manner that is broadly accessible to practitioners.

2. Review and Selection Process

INL first reviews all submitted applications for technical eligibility, based on the list of required documents in Section D: Application and Submission Information. All technically eligible applications are then passed to a review committee, which will evaluate the applications against the Technical Evaluation Criteria listed in the previous sub-section. The application(s) selected by the review committee are then presented to INL management and the Grants Officer for approval.

INL will notify successful applicant(s) via email and pass along any conditions, recommendations, or questions from the review committee. INL will notify unsuccessful applicants via email after an award has been issued to the successful applicant(s); therefore this notification process may take several months.

INL reserves the right to fund any number of applications or none of the applications submitted and will determine the resulting level of funding for each award(s).

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

For all awards with a federal total exceeding \$250,000, INL is required to review and consider any information about the applicant in FAPIIS.

Organizations are able to review and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system, accessible through SAM.gov. INL will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when conducting pre-award due diligence.

F. AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

The grant award or cooperative agreement will be written, signed, awarded, and administered by the Grants Officer. The DS-1909 award agreement is the authorizing document and will be provided to the recipient for review and signature via email or MyGrants. The recipient may

only start incurring program expenses beginning on the official project start date, unless pre-award costs are authorized in the award agreement.

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

Issuance of this NOFO neither constitutes an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

2. Administrative and National Policy Requirements

Before submitting an application, applicants should review all the terms and conditions and that will apply to this award to ensure that they will be able to comply. These include, but may not be limited to:

- [2 CFR 25 - UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT](#)
- [2 CFR 170 - REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION](#)
- [2 CFR 175 - AWARD TERM FOR TRAFFICKING IN PERSONS](#)
- [2 CFR 182 - GOVERNMENTWIDE REQUIREMENTS FOR DRUG-FREE WORKPLACE \(FINANCIAL ASSISTANCE\)](#)
- [2 CFR 183 - NEVER CONTRACT WITH THE ENEMY](#)
- [2 CFR 200 – UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS](#)
- [2 CFR 600 – DEPARTMENT OF STATE REQUIREMENTS](#)
- [U.S. DEPARTMENT OF STATE STANDARD TERMS AND CONDITIONS](#)

INL will review and consider applications in accordance with the Office of Management and Budget's guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance. This may include, but is not limited to:

- Guidance for Grants and Agreements in Title 2 of the Code of Federal Regulations (2 CFR), as updated in the Federal Register's 85 FR 49506 on August 13, 2020, particularly on:
 - Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR part 200.205)
 - Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (2 CFR part 200.216)
 - Promoting the freedom of speech and religious liberty in alignment with *Promoting Free Speech and Religious Liberty* (E.O. 13798) and *Improving Free Inquiry, Transparency, and Accountability at Colleges and Universities* (E.O. 13864) (2 CFR parts 200.300, 200.303, 200.339, and 200.341)

- Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR part 200.322)
- Terminating agreements in whole or in part to the greatest extent authorized by law, if an award no longer effectuates the program goals or agency priorities (2 CFR part 200.340)

3. Program-Specific Requirements

RAM Vetting

Applicants are advised that a condition of this award is passing vetting that evaluates the risk that funds may benefit terrorists or their supporters. Applicants may be asked to submit information required by DS Form 4184, *Risk Analysis Information* 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. Failure to submit information when requested, or failure to pass vetting, may be grounds for rejecting your proposal.

State Department Leahy Amendment Vetting Requirements

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

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

4. Reporting Requirements

Recipient Reports

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

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

Foreign Assistance Data Review

As required by Congress, the Department of State must make progress in its efforts to improve tracking and reporting of foreign assistance data through the Foreign Assistance Data Review (FADR). The FADR requires tracking of foreign assistance activity data from budgeting, planning, and allocation through obligation and disbursement. Recipient(s) will be required to report and draw down federal funding based on the appropriate FADR Data Elements, indicated within their award documentation. In cases of more than one FADR Data Element, the successful applicant will be required to maintain separate accounting records.

APPENDIX A: PERFORMANCE MONITORING PLAN

Monitoring is the ongoing collection and analysis of information to inform project management and decision making. A monitoring plan is an agreement between stakeholders about how, when, and by whom the intervention's results will be measured, and how measurement will inform decisions.

Requirements for INL Performance Monitoring are met through three documents:

1. Change Map;
2. Performance Indicator Reference Sheet; and
3. Performance Monitoring Reports (during the period of performance).

The Change Map shows the links between project goals, objectives, and activities, as well as which goal, objective, or activity each indicator is intended to monitor. A complete Change Map is a required component of a project proposal, though all elements can be modified over the life of the project.

The Performance Indicator Reference Sheet (PIRS) provides detailed information for each indicator, including baseline and target values. An illustrative PIRS, defining three indicators and using notional data as needed, is a required component of a project proposal. A complete PIRS, with full information for every indicator, is required as an early project deliverable. The PIRS may be modified as needed over the life of the project.

The Performance Monitoring Reports provide information throughout the life of the project about the progress of project implementation and performance against indicator targets. INL and the Grantee will agree upon the quarterly reporting procedures and templates when the Statement of Work is finalized. No documents related to the Performance Monitoring Reports are needed at the time of the proposal.

APPENDIX B: PROJECT RISK ANALYSIS

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

INL defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a program and should result in revisions to risk analysis documents and processes as necessary. Applicants should incorporate all assumptions and external factors identified in the Monitoring Plan and Proposal Narrative into the risk analysis. Applicants should rate the likelihood of a risk and potential impact of the risk as “high”, “medium”, or “low.”

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

INL has included a template for the Project Risk Analysis in the Related Documents tab of the NOFO announcement on grants.gov. For more information about the Risk Analysis, please see 2 CFR 200.519.

APPENDIX C: BUDGET AND BUDGET NARRATIVE

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

A. Budget Proposal

Complete budget proposals should include a Summary Budget; Detailed Budget; and Sub-recipient Detailed Budget(s), if applicable. The Summary Budget and Detailed Line-Item Budget should be combined in one spreadsheet document. They should be organized according to the OMB-approved budget categories:

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Contractual
- Construction
- Other Direct Costs
- Indirect Costs

If proposing sub-recipient(s), applicants should include detailed sub-recipient budget(s) as additional tabs within the budget spreadsheet. These budgets should follow the same formatting as the primary budget proposal, including all OMB-approved budget categories.

B. Budget Narrative

The Budget proposal provides a numeric-based description of costs under the project. The Budget Narrative is a critical companion document to the Budget that provides numeric and narrative descriptions of each cost item included in the Budget.

All costs included in the project, whether federal or recipient cost share, must be allowable, allocable, reasonable, necessary, and consistent with OMB guidelines. The applicant should keep this in mind when drafting the Budget Narrative, as INL will reference both the Budget and Budget Narrative to determine whether proposed costs fit these requirements.

Category A. Personnel

This section should include all staff from the applicant organization that will work on this project.

- Identify staff by name, where possible, and position title and include a brief description of duties.
- List the annual or monthly salary of each position, their level of effort (i.e., percentage of time working on project), and number of months or years they will work on the project.
- If applicable, separate personnel by location (e.g., headquarters staff and field office X staff)

Category B. Fringe Benefits

Fringe Benefits are the non-wage compensation provided to employees in addition to their normal wages or salaries. Common examples include health insurance, vacation and sick leave, and employer-paid taxes. Fringe benefit application must be consistent with organization's written policy.

- Explain how benefits are computed for each category of employee
- Specify the type of benefit and rate. If applicable, reference rates found in NICRA.

Category C. Travel

This category outlines travel planned for staff and participants.

- **Domestic and International Airfare**
 - Indicate origin and destination (city and country), number of travelers, number of trips each, unit cost per round trip, and purpose.
 - All travel must be booked with economy class fares only.
 - Where applicable, travel should comply with the Fly America Act. More information located here: <http://www.gsa.gov/portal/content/103191>.
- **In-Country Travel**
 - Indicate origin and destination cities, mode of transportation, number of travelers, and unit cost per traveler per trip.
- **Per Diem**

This includes lodging, meals and incidentals (M&IE) for staff and participant travel.

 - Rates of maximum allowances for U.S. and foreign travel are located here: <https://www.gsa.gov/travel/plan-book/per-diem-rates>
 - Per diem rates must follow the organization's own policy; however, institutions may use official government per diem rates as reference.
 - Per diem rates may be prorated and/or removed if the project is paying for refreshments and/or meals for participants (e.g., while attending a workshop or conference).

Category D. Equipment

Equipment is defined as an item with a per-unit cost of \$5,000 or more and a service life of more than one year. If the item meets these criteria, all federal procurement policies and procedures must be followed. If an item does not meet these criteria, it should be listed as a supply item under Category E.

- Provide a description and justification for all equipment, breaking down the total cost into its components where possible.
- Specify whether the equipment will be purchased or rented.

Category E. Supplies

Supplies include tangible items (e.g., toner, laptops, paper) and intangible items (e.g., computer software and licenses) used to manage the project and activities.

- List items separately, including a brief description and justification for the item, number of units, and unit cost.
- For electronic supplies (e.g., mobile phones and laptops), specify which staff will receive the items and the programmatic need.

Category F. Contractual

- **Sub-grants**

A common distinction between sub-recipients and contractors is the role being played; is the entity simply providing a service or are they an implementing partner:

- Each sub-grant should be listed as a line within the main budget and be supported by a separate line-item sub-grant budget.
- For simple sub-grants, the applicant may elect to include the sub-grant's line items within the contractual section of the Budget Narrative; for more complex sub-grants, the applicant should include the sub-grant's line items at the end of the Budget Narrative.
- All proposed sub-recipients are required to have a Unique Entity Number (UEI), regardless of the proposed budget amount, prior to receiving funding. An active SAM.gov registration is not required for sub-recipients.

- **Consultant Fees and Contracts**

Common examples include lecture fees, honoraria, travel and per diem for outside speakers or independent evaluators, and subject-matter expert consultants.

- Describe the nature of the contract/consultancy and list number of people and rates
- Fees and rates should be consistent with the level of experience and based on a fair market value.
- Fees and honorarium should not exceed \$720/day per person, effective January 1, 2023. The 2022 rates will apply to all NOFOs issued before January 1, 2023, until amended. (Note: The designated INL GO can negotiate final fees and rates during the review process of an award and prior to issuance of an award.)

Category G. Construction

Due to the nature of INL programs, construction costs are not allowable or applicable.

Category H. Other Direct Costs

Other direct costs are any costs not included in the other categories. This category may include the entity's operating expenses that are directly linked to the award but not included as an indirect cost.

- For shared costs (e.g., office rent, utilities, wifi, etc.), justify the percentage of the total cost that is being charged to this project.
- Audit costs can be included if they are not covered by indirect costs. Only the portion of an organizational audit cost associated with this project should be charged to this project.
- Avoid using vague wording such as "miscellaneous", "other", "etc.", and "contingency fund".

Category I. Total Direct Costs

This category simply adds together the totals of all previous categories (A through H) to provide a summary of all direct costs. No additional narrative information is necessary for this category.

Category J. Indirect Costs

Indirect costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The organization's elected methodology must be used consistently for all federal awards.

Indirect costs can be included in the budget under one of the following methods:

- **Negotiated Indirect Cost Rate Agreement (NICRA)**

Applicants with an established NICRA may charge their approved indirect rate(s).

- Indicate the rate(s) and the base(s) to which they are applied (e.g., all direct costs, to wages and salaries only, etc.)
- If an applicant is electing to charge a rate lower than their approved NICRA, an explanation should be provided within the Budget Narrative.

- **De Minimis Rate**

Applicants that have never received a NICRA can charge a de minimis rate of 10% of modified total direct costs (MTDC) to cover indirect expenses.

- MTDC includes “all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subaward)”
- MTDC excludes “equipment, capital expenditures, charges for patient care, rental costs, tuition reimbursement, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000”. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
- Justify the MTDC calculation and outline which costs the applicant is proposing to be included within the MTDC base.

Cost Share

Cost Share is the portion of program costs not borne by the Federal Government. Cost sharing may take the form of allowable direct or indirect costs offered by the applicant and/or in-country partners. Applicants should consider all types of cost sharing, including in-kind and public-private partnerships. Additional information on cost share can be found in 2 CFR 200.306. Common examples include the use of office space owned by other entities; donated supplies and equipment; and activities and services conducted by qualified volunteers.

- Line items that include cost share should be identified as such within the Budget Narrative and include the same level of detail requested within this Appendix for federal expenses.
- Monetary values should be assigned to each cost-share line item, in accordance with 2 CFR 200.306.
- Funding from other U.S. government entities or programs does not constitute cost sharing.

C. Budget Allowances and Restrictions:

Program Income

Recipients must report any income generated by the project, also known as “program income.” Program income earned during the project period shall be retained by the recipient and, in accordance with the terms and conditions of the award, shall be addressed in one or more of the following ways:

- added to the award total and used to further program objectives
- used toward the recipient’s cost sharing requirement
- deducted from the total allowable costs in order to determine the net allowable costs for the award

Cost Share

If a resulting federal award includes recipient cost share, the recipient must maintain written records to support all allowable costs that are claimed as its contribution to cost share. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost sharing as stipulated in the recipient's budget, INL may reduce the federal share of the award in proportion to the recipient's actual cost share contribution.

Considered Costs

INL will consider approval of the following (non-exhaustive) list of expenses:

- External evaluation to assess the project's impact
- Internal evaluation conducted by the grantee
- Audit for the recipient organization or specific project
- Visa fees, immunizations, and medical insurance necessary for travel under the project
- English translations for reporting, relevant documents, or events
- Training for project staff related to monitoring and evaluation, financial management, and other skills necessary to effectively manage the project

Unallowable Costs

The following (non-exhaustive) list of expenses are not allowed in INL grants and cooperative agreements and should not be included within the proposed budget:

- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction
- Alcoholic beverages
- Buying or leasing land
- Direct support or the appearance of direct support for individual or single-party electoral campaigns
- Duplication of services immediately available through municipal, provincial, or national government

INL Grants Officer Specific Approvals

The following list of expenses will require the pre-approval of an INL Grant Officer:

- Program income for the grantees and/or sub-recipients (Note: Program income is defined as "gross income earned by a recipient that is directly generated by a sponsored activity or earned as a result of the award". Program income must be identified, appropriately documented, and the resulting revenue and expenses properly recorded and accounted for. Program Income must be pre-approved by the Grants Officer).
- Expenses incurred before or after the award period of performance, unless prior written approval is given by INL Grants Officer
- Costs of entertainment, including amusement, diversion, and social activities, except where these costs have a demonstrable programmatic purpose and are authorized by INL
- Construction

Additional Notices

The applicant is reminded that funds provided under this agreement must be used in a manner fully consistent with U.S. law.

The applicant will be responsible for complying with all applicable tax treaties and federal, state, and local laws on tax withholding and reporting for program participants.