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

Announcement Type:	Request for Federal Assistance Award Applications
Public Opportunity Title:	*Advancing Gender Equality in Costa Rica's Police Forces*
NOFO Opportunity Number:	INL21CA0010-CostaRica-GenderEquality
NOFO Issuance Date:	December 4, 2020
Deadline for Receipt of Questions:	December 30, 2020, 11:59 PM EST
Deadline for Submission of Applications:	**January 29, 2021, 11:59 PM EST**
Funding Amount:	$200,000 U.S. Dollars
Award Ceiling:	$200,000 U.S. Dollars
Award Floor:	$100,000 U.S. Dollars
Cost Sharing Requirement:	Not required but recommended
Program Type:	U.S. Embassy San José initiative "Advancing Gender Equality in Costa Rica Police Forces"
Grant Program:	Central America Regional Security Initiative
Catalog of Federal Domestic Assistance (CFDA) Number:	19.704 – Counter-narcotics
Assistance Type:	Cooperative Agreement
Eligibility Category:	Eligible organization categories are: • **U.S.-based** non-profit/non-governmental organizations (NGOs)

- **U.S.-based** educational institutions having a 501(c)(3) status with the IRS
- **Overseas-based** non-profit/non-governmental organizations (NGOs)
- **Overseas-based** private/state educational institutions.

Refer to the Eligibility Criteria section below.

Applicant Type: Organizations

Any questions concerning this NOFO should be submitted via email to **Katelyn Smith (SmithKB@state.gov) and Mitssy Rovira (RoviraM@state.gov)** by the question deadline listed on page 1 of this document. Responses to questions will be made available to all potential applicants as an attachment to this opportunity on grants.gov.

NOTICE OF FUNDING OPPORTUNITY

The United States Department of State, Bureau of International Narcotics and Law Enforcement Affairs INL is seeking applications from qualified applicants to implement a project titled *"Advancing Gender Equality in Costa Rica Police Forces."* Subject to the availability of funds and pending Department of State management approvals, INL intends to issue an award in the amount of **$200,000** for an initial project period of **2 years**.

This funding opportunity is posted on www.grants.gov and may be amended. Refer to **Section V** below for further details

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

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SECTION I – PROGRAM DESCRIPTION

EXECUTIVE SUMMARY

The Bureau of International Narcotics and Law Enforcement Affairs (INL) leads the Department of State's anticrime and counter-narcotics efforts. INL assistance programs help partner nations to build their capacities to extend the reach of justice under the rule of law, including respect for human rights and gender equality, and to deny safe haven to criminals who would otherwise operate with near impunity. The resources entrusted to us, enables INL to deliver technical assistance and capacity to: enhance international drug control through interdiction and supply reduction; develop civilian law enforcement capacity, regional partnerships, and information sharing; and further the administration of justice and corrections under the rule of law with respect for human rights. This mission supports **peace and security** by stabilizing and strengthening security institutions and by combating narco-trafficking and other transnational crimes such as money laundering, criminal gangs, and wildlife trafficking. It promotes **governing justly and democratically** by strengthening justice sector institutions, good governance and respect for human rights.

INL combines forces with other USG and international agencies and takes a regional approach to widespread problems. INL also encourages more developed governments to take responsibility as equal partners in global efforts to support critical country and global programs that combat transnational crime, disrupt illicit trafficking, and build their capacities to extend their reach of justice under the rule of law. The Bureau's priority programs support three inter-related objectives:

- **BUILDING CRIMINAL JUSTICE SYSTEMS:** Institutionalize rule of law by supporting and assisting in capacity building of host nation justice, law enforcement, and corrections institutions, promote human rights and diversity, protect vulnerable groups, and collaborate with multilateral and international partners to establish global standards and accountability mechanisms;
- **COUNTER-NARCOTICS:** Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations, and;
- **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks in the U.S. and its allies to oppose and counter corruption; wildlife crimes;

cybercrime; intellectual property rights (IPR) fraud; transnational organized crime; environmental crime; crimes that threaten civilian security; and activities using the proceeds of crime.

ISSUE STATEMENTS

Introduction

The key to a successful future for any organization lies in its ability to attract, develop and retain the best talent. With half of the world's population being women, educating, empowering and recognizing their talent is fundamental to succeeding in a rapidly-changing world. Costa Rica adopted the Sustainable Development Goals (SDGs) to eradicate poverty, protect the planet and ensure prosperity for all Costa Ricans, however there is still a long way to go. If it is desired to achieve gender equality by 2030, actions must be improved and the pace accelerated, as stated by Costa Rica's Ombudsman's Office.

Issues

Violence against women is one of the most recurrent situations, and has been highlighted as a pending issue. "In terms of harassment, the Ombudsman considers that it is necessary to provide timely assistance to victims, generate prevention mechanisms, update regulations, carry out disciplinary procedures in a regular manner and take complementary measures to the sanction". 2019 closed with a report of 14 femicides; and as of September 2020, nine femicides had been registered, six were registered as homicides, and 38 had not yet been classified by the Deputy Prosecutor for Gender, according to the Inter-Institutional Subcommittee for the Prevention of Femicide.

With regard to unemployment, women are the ones who suffer the most, with annual average rates of 11.6% for 2017, 13.2% in 2018, and 15.3% during 2019, according to the National Institute of Statistics and Censuses (INEC). In terms of salary gaps, it is reported that women earn on average 13% less than men, calculated on the monthly salary, according to INEC, this despite the fact that the country constitutionally and legally protects the right to equal salary for equal work.

Current Interventions

The Ministry of Public Security established the Office of Gender Equality and Equity in 2011, with the following purpose according to article 25 of the Organization Regulations of the Ministry of Security:

Article 25.The Office for Gender Equality and Equity will be an advisory and supervisory body on gender matters, subordinate to the Office of the Minister, empowered to influence decision-making in matters of gender, especially regarding institutional planning and the definition of internal mechanisms of equal opportunities for both administrative and police officials.
The Office for Gender Equality and Equity will have the following functions:

1) *Encourage and assist in the formulation, application, monitoring and evaluation of institutional policy for gender equality and equity.*
2) *Update the comprehensive policy that homogenizes the principles and perspective of equality and equity of opportunities between men and women in the Ministry of Public Security, promoting and developing the necessary administrative, regulatory, procedural and operational measures, in order to guarantee the integration and*

application of this policy in the different areas of the same. For this purpose, you may request reports, make inquiries and inquiries as deemed appropriate, in each and every one of the departments of this Ministry, with the required collaboration of all staff.

3) *Promote and support the process of change in the institutional culture to achieve a provision of services with criteria of equality and gender equity and labor relations in equal rights and opportunities for women and men.*
4) *Provide technical assistance in strategies, ways of working and relationships between officials and officials to ensure equitable treatment of rights and opportunities for both sexes.*
5) *Ensure that a vision of equality and equity is incorporated into the policies and procedures established by the institution for the granting of promotions to officials both in the administrative and operational areas, including the granting of police degrees.*
6) *Support the institutionalization of the gender approach in the statistics and indicators that make up the information systems of government entities.*
7) *Ensure compliance with the commitments acquired by the Institution through the ratification of International Agreements and regarding national policies for gender equality and equity, in coordination with the INAMU and the Ombudsman's Office. For this purpose, it may request the information it deems necessary from the various instances of the Ministry.*
8) *Promote and support the channeling of institutional initiatives towards international cooperation agencies on gender equality and equity.*

The Gender office receives cases, requests, consultations related to different topics and violations of rights such as:

- Sexual harassment
- Workplace harassment
- Sexual and labor harassment
- Transfer requests for violation of human, labor and gender rights.
- Labor issues
- General consultations
- Discrimination
- Gender violence: physical, psychological, sexual, and patrimonial

During this time, the Ministry of Public Security has made great progress with the support of the Gender Equity and Equality Office, such as prompt and timely attention to cases of different manifestations and types of gender violence. It has also created and established the Institutional Policy on Gender Equality and Equity, the institutional policy on sexual harassment and the protocol of action of best practices. The service regulations of the police forces attached to the Ministry of Public Security was also reformed, among other actions carried out with the purpose of fighting for gender equality.

However, this office has not been able to increase the personnel required for the care of more than 15,000 police and administrative officials, largely due to budgetary restrictions. From the standpoint of the Gender Office in the Ministry, more actions are required. The Police Academy, in an effort to address gender matters, has turned to a cross-cutting axis in its trainings, and now is a pillar in the preparation of new police personnel and updating senior civil servants.

Within the Human Resources reports it can be found that there are more men hired than women at the Institutional level, in both administrative and police areas. The Administration is aware of the need to fight for gender equity and is currently carrying out different actions to eradicate gender violence and promote gender equity.

Conclusion

There is still a long way to go to achieve a healthy work environment free of discrimination and gender violence and to contribute to the prevention and correction of gender violence within the Ministry of Public Security, whose mission is to "Serve and protect people in the enjoyment of their individual rights and guarantees, preserve Costa Rican democracy and sovereignty." This includes, in addition to external service users, the police personnel in all its dependencies and the administrative personnel.

As part of this gender-balance project, Costa Rica would be able to resolve one fundamental question: why are there so few women at a senior level in law enforcement compared to other professions? Repeatedly, studies show a significantly better quality of decision-making within more gender-balanced leadership teams, with gender-balanced workplaces also performing better. The work of the police and administrative staff are jobs that are tailored for both men and women. In short, it is smart to have gender-balanced groups.

Diversity matters and for the right reasons. The police must be a mirror of society and gender equality. The participation of female police officers is critical to the full spectrum of police activities, such as: advocacy for the rule of law, intelligence gathering, planning, leadership, investigations, capacity building, community-oriented policing, and community engagement. It is very important to contribute to the eradication of gender violence, and to fight for gender equality, non-discrimination against women in the workplace, and parity for men in the execution of new masculinities.

This project is the result of inter- and intra-institutional articulation work between the MS Police Academy, the MS Office for Gender Equality and Equity, and the Embassy of the United States of America in Costa Rica.

PROJECT PURPOSE AND DESCRIPTION

The purpose of this project is to provide a coherent and standardized approach to gender equality by integration of best practices and standards into the police-specific policies, guidelines and standard operating procedures. The grantee will work in close collaboration with INL, the National Police Academy and the Gender Office of the Ministry of Public Security to promote the development of the capacity of all police forces in Costa Rica on gender issues (adapted to the specific national and local context and security needs), ultimately ensuring that the issue of gender equity is viewed as a mainstream issue and not a transversal one.

The grantee should gather a multidisciplinary team of experts that possess extensive experience in gender matters, community-based work with diverse groups, managing groups, and understanding of group dynamics. These experts should employ analytical skills and essential personal tools for teamwork and have previous experience similar types of projects.

The project team must be proactive, effective and tolerant to situations that may be encountered throughout project implementation. The team must maintain strict confidentiality. While they work as consultants in the Ministry of Public Security, they must adhere to institutional regulations aimed at civil servants, in terms of protocols and good conduct, among others.

PROJECT GOALS

To integrate the gender equity approach in the daily work of the Ministry of Public Security, through the integration of best practices and standards in the policies, guidelines and specific operating procedures of the police forces of the Ministry of Public Security.

PROJECT OBJECTIVES

Develop an empowerment strategy on gender equality for the Costa Rican National Police, which includes: a system of theoretical and practical modules that facilitate strategies to train police officers in current gender issues; manuals of good practices for their constant application in police and administrative activities; and respective guides for verifying the application of gender equality in daily police and administrative work.

Objective 1: Conduct a needs assessment of all police forces (National Police, Borders, Migration, Air Surveillance, Coast Guard, Prosecutor, Penitentiary, Municipal, etc.) in Costa Rica with a focus on gender equity and gender violence in all its shapes.

Activity 1: Develop a comprehensive needs assessment survey focused on gender equity and gender-based violence in all its forms.

Activity 2: Implement the needs assessment survey with the participation of a representative sample of police officers from all police forces in Costa Rica.

Activity 3: Systematize the findings to establish a baseline. Facilitate a round table with key actors and leadership from all police forces in Costa Rica to agree on a work plan and monitoring strategy.

Activity 4: Hold the first institutional meeting of women leaders in gender matters in order to analyze the findings of the systematizations and to create a national agenda for the empowerment of the police forces in the promotion of gender equity and prevention of gender violence in all its forms.

Based on the results obtained, national and international legal instruments, plus the existing theory, a guide will be developed that contains:

- History of gender equality in the Ministry of Security, what has been done? What are we doing and new challenges?
- History of gender equity in the National Police Academy.

Incorporate the following resources to the work with the Ministry of Public Security and National Police Academy of Costa Rica:

- Theory of Change methodology.
- Adults learning methodology.

- Sustainable livelihoods and adaptation to organizational change.
- Technology of participation by Institute of Cultural Affairs.
- Train the Trainer model.

Objective 2: Combine or create reference material for the National Police Academy on a variety of gender-related subjects.

Activity 1: Develop a complete compendium of definitions of terms related to gender equity.

For example: human rights; equity; equality; violence; gender violence; sexual harassment; sexual abuse; rape; domestic violence; patriarchy; control and power from the patriarchy; abuse of power; inequality in the enforcement of rights; parity (includes actions and/or strategies that promote greater participation of women in managerial and decision-making positions within agencies); reconciliation of work; family and personal life (recognizes actions and/or strategies that promote conciliation between work; family and personal life of public servants; promote a greater participation of men in domestic and care work; and encourage the exercise of active maternity and paternity); among others.

Activity 2: Create a database on international human rights legal instruments and standards on women's rights, including resolutions, both national and international.

Activity 3: Consolidate a summary of the International Security Resolutions on Women, Gender Equity and International Treaties on the rights of Women signed by Costa Rica and the internal Guidelines of the Ministry of Public Security.

Activity 4. Create action protocols (sexual violence, gender violence, gender discrimination, parity, etc.) that prevent, identify, and detect possible cases of gender violence, and facilitate the steps to make a complaint. Create administrative procedures to follow in the event of an event that violates the rights of people and sanctions related to actions on gender equality, sexual violence and gender-based violence.

Objective 3: Create a toolkit that includes a manual, training modules, and guides for the application of the institutional gender policy for the National Police Academy of the Ministry of Public Security of the Government of Costa Rica.

The toolkit should include best practices, training of trainers methodology, and a coherent approach for the implementation of gender equality in police activities.

Activity 1: Create an educational toolkit that includes lessons on:

- How to apply the concepts of gender equity in the daily work of the police;
- How to apply the gender equality policy to increase recruitment of female police officers; and ensure female officer are included among decision makers.
- How to establish special gender police commissions to address sexual violence and gender-based violence (SGBV) within the Ministry and work hand-in-hand with the Gender Office.

- Materials for a bimodal e-learning course and a face-to-face course with a training curriculum, a manual and a compendium of project tools, that includes concepts based on the theory of change and methodology based on adult learning practices.
- Standardized processes, model policies, procedures and strategies, templates, checklists, and sample questionnaires to guide implementation.
- Sexual harassment training course that includes topics on the following:
    - Dynamics of gender inequality, sexual harassment, sexual exploitation and sexual abuse;
    - Effect on victims and how to handle situations in the workplace.
    - Penalties and liability issues in the event of failure to address sexual harassment. Different forms of discrimination can be highlighted, such as that based on sexual orientation, culture, ethnicity that provides greater vulnerability to women.

Activity 2: Develop a communication strategy to socialize the resources available to female police victims. The products generated for the strategy must have the necessary pedagogical mediation (printed materials, emails, social networks, designs for monitors and screen banners).
Activity 3: Create a guide to verify the application of gender equity in an effective manner, policies in operating procedures, and daily police work.
Activity 4: Organize a two-day national meeting of women police officers with educational workshops, trainings, forums and relevant and relevant practical exercises for at least 200 participants.

PROGRAM EXPANSION

In the event of a successful project, INL will consider the option of expanding the project, subject to availability of future funding. Applicants may include in their proposal a brief section outlining how additional funds could potentially be used to expand work into further activities in future years. Applicants are encouraged to demonstrate how their project might leverage funding through other organizations.

TARGET POPULATION

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

DESIRED RESULTS AND ILLUSTRATIVE INDICATORS

By the end of the two years of the project, the selected applicant is expected to: expand knowledge with access to educational workshops, trainings, tool kits and resources on gender equality in the policing profession; enhance community safety by shaping the future of women police in Costa Rica; and prepare current and emerging police leaders—and the agencies and communities they serve—to succeed in addressing the most pressing issues, threats, and challenges.

The recipient will develop a project-level Performance Monitoring plan (PMP) with annual and end-of- project targets and results anticipated for key performance indicators. The following table shows indicators that will be measured, as well as illustrative targets, upon which the recipient will be responsible for monitoring and reporting during and after the project. In addition, INL will regularly monitor the project's performance to assess whether project activities are on track and targets are being achieved.

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

Sample indicators for the project are provided below. The recipient is expected to identify targets for these indicators based on what it can reasonably achieve within the performance period of the project, and based on the expected overall project results described above. The recipient may propose additional outputs, indicators, and/or targets as appropriate.

Example Outcome Indicators	**Illustrative Targets**
Percentage of reliability of the assessment survey	90%
Number of participants attending the two-day national women police conference	200
Number of tools created for the police gender-equality education resource center	30

Output indicators and illustrative targets for the project are provided below. The recipient should review these and either confirm the illustrative targets or propose alternative targets, as appropriate.

Example Outcome Indicators	**Illustrative Targets**
Number of workshops on gender equality in police forces implemented	10
Training course on sexual harassment created and launched	100%
Gender equality and sexual harassment policies reviewed and adopted by police forces	90%

[END OF SECTION 1]

SECTION II – FEDERAL AWARD INFORMATION

INL expects to award one cooperative agreement based on this NOFO. The anticipated total federal funding amount is not to exceed $200,000. The period of performance is two years with an anticipated start date of February 2021. INL may extend the award up to two additional years contingent on INL priorities, good performance of the recipient, and funding availability.

NOTICES

The authority for this Notice of Funding Opportunity (NOFO) is found in the Foreign Assistance Act of 1961, as amended.

The U.S. government will issue award(s) to the responsible applicant(s) whose application(s),

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

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

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

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

In signing this agreement, the Recipient agrees to exercise due diligence to ensure compliance with the Leahy provision and State Department policy, and to cooperate with the State Department in implementation of the Leahy requirement for funds under this award. The Department implements the Leahy requirement by vetting units or individuals proposed for training or other assistance to check for credible information of a gross violation of human rights by such units or individuals.

To facilitate State Department vetting, the Recipient must provide the following information for proposed participants at least sixty (60) calendar days prior to commencing award activities. This information should be submitted to the U.S. Embassy in the country where the award will be implemented in order to initiate Leahy vetting procedures:

Information needed: Full name, date of birth, country of birth, country of citizenship, gender, rank, title, and organizational affiliation. Please also include the activity and date that the activity will take place—if the person will participate throughout an extended program, please note the

timeframe. Participant information should be submitted in the format attached.

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

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

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

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

[END OF SECTION II]

SECTION III – ELIGIBLITY INFORMATION

Eligibility for this NOFO is limited to organizations that meet one of the following eligible organization types:

- 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;
- Foreign-based non-profits/non-governmental organizations (NGOs);
- Foreign-based educational institutions

AND

- Applicants must have demonstrated experience implementing similar projects, preferably in the Costa Rica, or at least Central America. INL reserves the right to request additional background information on organizations that do not have previous experience administering similar programs and/or federal grant awards.
- Applicants must have the ability to produce documents (e.g. trainings materials, reports), deliver training, and conduct evaluations in Spanish and English. The applicant's staff should be proficient in English in order to fulfill reporting requirements.

- Applicants must have existing, or the capacity to develop, active partnerships with stakeholders in order to successfully carry out the proposed program.

OTHER ELIGIBILITY CONSIDERATIONS

Organizations may form a consortium and submit a combined proposal. However, one organization should be designated as the lead applicant and other members as sub-award partners.

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

To be eligible for a grant award, in addition to other conditions of this NOFO, organizations must have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. INL is committed to an anti-discrimination policy in all of its programs and activities. INL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status.

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

[END OF SECTION III]

SECTION IV – REQUIRED APPLICATION DOCUMENTS

Complete applications must include the following documents:

1. **Completed and signed SF-424 and SF-424A forms**
    - Submitted via www.grants.gov
    - Refer to **Tab D** for instructions for completion of Standard Forms 424, 424A, and 424B.

2. **Proposal Narrative**
    - Not to exceed **twenty (20) pages**. Please note the page limit does not include any other required documents (Risk Assessment, Timeline, etc.) in the page limit.
    - This document should also include:
        i. **Cover Page** – should include organization name, project title, requested number of months, target country(ies), point(s) of contact, and requested funding amount
        ii. **Table of Contents** – should list all documents and attachments with page numbers
        iii. **Executive Summary** – should include a synopsis of the project, including a breakdown of the goals, objectives, activities, and expected results. Should

include a brief statement on how the project is innovative, sustainable, and will have a demonstrated impact.

- Refer to **Tab A** below for more information on this section.

3. **Monitoring and Evaluation Plan**
    - Refer to **TAB B** below for more information on this requirement.
    - A template is included under the Related Documents section of this announcement on www.grants.gov.

4. **Activity Map**
    - This document connects goals and objectives to activities, outputs, and outcomes.
    - A template is included under the Related Documents section of this announcement on www.grants.gov.

5. **Program Risk Analysis**
    - Refer to **TAB B** below for more information on this requirement.
    - A template is included under the Related Documents section of this announcement on www.grants.gov.

6. **Roles and responsibilities of key program personnel**
    - Including short bios that highlight relevant professional experience that relates to the organization's capacity. Given the limited space, CVs are not recommended for submission.

7. **Timeline of the overall proposal**
    - The timeline should provide a realistic time breakdown of start-up, activities, monitoring and evaluation efforts, and closeout.

8. **Summary and Detailed Budget**
    - In spreadsheet format (e.g. Microsoft Excel).
    - Includes at least the following three columns: amount requested from INL, cost sharing contributions (if any), and total budget.
    - Refer to **Tab C** below for more information on completing the Budget.
    - A template is included under the Related Documents section of this announcement on www.grants.gov.

9. **Budget Narrative**
    - Includes an explanation and justification for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered.
    - Refer to **Tab C** below for more information on completing the Budget Narrative.
    - A template is included under the Related Documents section of this announcement on www.grants.gov.

10. **NICRA, if applicable**

- If your organization has a negotiated indirect cost rate agreement (NICRA) and will include NICRA charges in the budget, you must include the approved NICRA within the application.
- If your proposal includes subgrants to organizations basing their indirect costs on a NICRA, you must submit the applicable NICRA(s) as part of the application.
- The document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding, and therefore does not count against the submission page limitations, as described above.
- If your organization **does not** have a negotiated indirect cost rate agreement (NICRA) please specify if your organization elects to charge the de minimis rate of 10% of the Modified Total Direct Costs (MTDC). If applicable, the de minimis rate must be included in the detailed budget and an explanation must be provided in the budget narrative.

11. A copy of your organization's **most recent audit**, **if applicable**

- Required for organizations that meet the requirements in 2 CFR 200.500 – Subpart F.
- If an audit cannot be provided, an explanation must be submitted with the proposal submission.

12. A list of previous and/or current U.S. federal assistance awards received

- Including the awarding agency, point of contact, name of the project, start and end dates, and amount of the award.
- If a list of previous and/or current U.S. federal assistance awards received cannot be provided, an explanation **must** be submitted with the proposal submission.

13. INL Applicant Pre-Award Risk Survey

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

14. Attachments (optional)

- Optional. Does not include any document requested by INL previously in this list.
- Not to exceed **five (5)** pages total, preferably in Microsoft Word, which may include: further timeline information, letters of support, memoranda of understanding (MOU)/agreement, etc.

INL retains the right to request additional documentation beyond those included in this list.

Applications that do not include all **required** components listed above will be deemed technically ineligible and will not be considered for funding.

APPLICATION TECHNICAL REQUIREMENTS

Application documents should be formatted according to the following requirements:

- Pages are numbered and presented in an organized manner. Documents may be combined or in separate documents, as desired by the applicant
- Each document or component should include a label or title
- Adhere to standard document formatting (e.g. 8.5" x 11", standard margins (e.g. 1 in.), standard line spacing, 12 point font (where possible)

Technically eligible applications should adhere to the following requirements:

- Arrive electronically via grants.gov by the designated due date and time noted on page 1. If reasonable accommodations are granted for persons with disabilities or for security reasons, applications must still be received by INL by the designated due date and time noted in the NOFO
- Written in English and with all costs listed in U.S. Dollars. If an original document within the application is in another language, an English translation must be provided.
- Heed all instructions contained in the NOFO, including length and completeness of application, including all required documents; and
- Do not violate any of the guidelines stated in the NOFO.

It is the sole responsibility of the applicant to ensure that all of the documents submitted in the grant application package are complete, accurate, and current.

[END OF SECTION IV]

SECTION V – APPLICANT REGISTRATION INSTRUCTIONS

SAM.GOV

SAM.gov registration is required of all INL applicants prior to registering with www.grants.gov. The process of obtaining a SAM.gov registration may take anywhere from 1-5 weeks, so INL encourages applicants to begin this process as soon as possible. If an applicant has not fully complied with the SAM.gov registration requirements at the time of application, INL may determine that the applicant is unqualified to receive an award and use that determination as a basis for making an award to another applicant.

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

Organizations physically located outside of the U.S. and territories must first request a NCAGE Code, followed by a DUNS number, and then the registration process in SAM.gov. The organization's name, address, and email information used to request your organization's Unique Entity Identifier (DUNS number) and the NCAGE Code must match exactly what is used to request the SAM.gov validation (e.g. upper/lower case letters, numerical characters, symbols, and spacing).

Applicant organizations can obtain assistance for SAM.gov registration by using the following link: https://www.fsd.gov or by calling 1-866-606-8220 (U.S. calls) or +1-324-206-7828 (international calls). For international applicants, navigate to www.SAM.gov, click "Help" in the top navigation bar, then click "International Registrants" in the left navigation panel to access "Quick Start Guide for International Registrations" and "Helpful Hints".

Organizations must also maintain active SAM.gov registration with current information at all times during which they have an active Federal award or application under consideration by a Federal award agency. SAM.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM.gov.

CAGE/NCAGE REGISTRATION

NCAGE Codes are required for all foreign entities prior to starting a SAM registration.
Organizations can submit a request for an NCAGE Code using the NCAGE Request Tool at https://eportal.nspa.nato.int/AC135Public/CageTool/request-new-cage. For additional information, call 1-269-961-4623 or email NCAGE@dlis.dla.mil.
For U.S.-based organizations, a **CAGE** code will automatically be assigned to your entity once you submit your entity's registration in SAM.gov and the TIN validation has been returned.
Tip: The organization's name, address, and email information must match exactly in the applications for CAGE/NCAGE registration, DUNS Number, and SAM.gov Registration. All letter capitalization, numerical characters, symbols, and spacing must be written exactly the same or you will receive error messages when applying for the NCAGE code.

UNIQUE ENTITY IDENTIFIER (DUNS NUMBER)

All applicant organizations, both foreign and domestic, must obtain a DUNS number. U.S.-based organizations may request a DUNS number by calling 1-866-705-5711 or sending an email to SAMHelp@dnb.com. The DUNS number is usually provided immediately. Foreign organizations may request a DUNS number on the Dun & Bradstreet website at http://fedgov.dnb.com/webform/CCRSearch.do?val=1. If further assistance is required, email SAMHelp@dnb.com.

GRANTS.GOV REGISTRATION

To apply for a grant, applicants must complete the www.grants.gov registration process. The registration process can take 10 business days or longer, so INL encourages applicants to begin the process promptly.

This link provides information about completing the registration process: http://www.grants.gov/web/grants/applicants/organization-registration.html.

International applicants must complete supplementary requirements for doing business with the United States government. Please ensure that your organization has obtained an NCAGE code, a Unique Entity Identifier (also referred to as DUNS number), and an active status in SAM.gov prior to registering in Grants.gov.

INL bears no responsibility for disqualification that result from applicants not being registered before the due date, for system errors in Grants.gov, or other errors in the application process

If you have difficulty registering on www.grants.gov, please contact the Help Desk at: 1-800-518-4726 (U.S. callers), 1-606-545-5035 (international callers), or via email at support@grants.gov for technical assistance. The Contact Center is available 24 hours a day, seven days a week (except federal holidays). You may also obtain online assistance at https://www.grants.gov/web/grants/applicants/applicant-faqs.html.

[END OF SECTION V]

SECTION VI – APPLICATION REVIEW INFORMATION

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

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

TECHNICAL EVALUATION CRITERIA

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

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

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

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

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

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

- Includes a clear articulation of how the proposed program activities contribute to the overall program objectives (3)

- Each activity is clearly developed and detailed (3)
- Provides a comprehensive quarterly work plan for project activities that demonstrates substantive undertakings within the logistical capacity of the organization (3)
- Objectives are clear, specific, attainable, measurable results-focused and placed in a reasonable time frame (3)
- Addresses how the program will engage or obtain support from relevant stakeholders and identifies local partners where appropriate (3)
- Describes the division of labor among the direct applicant, any partners and any potential subgrantees (2)
- Proposal clearly articulates understanding of the security situation/operating environment and plans for ensuring safety of participants (2)
- Includes contingency plans for potential difficulties in executing the original work plan (6)

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

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

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

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

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

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

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

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

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

COST EVALUATION

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

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

[END OF SECTION VI]

SECTION VII – FEDERAL AWARD ADMINISTRATION INFORMATION

FEDERAL AWARD NOTICES

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

SUBSTANTIAL INVOLVEMENT

INL shall be substantially involved during the implementation of the award agreement in the following ways:

1) Approval of the recipient's annual work plans, including: planned activities for the following year, travel plans, planned expenditures, event planning, and changes to any activity to be carried out under the Cooperative Agreement;
2) Approval of specified key personnel;
3) Approval of sub-award recipients (if any), and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
4) Approval of Monitoring and Evaluation Plan
5) Other country specific or program specific approvals will be included in the award documents

TERMS AND CONDITIONS

Recipients will be held to the U.S. Department of State terms and conditions and the Award Specific Provisions. It is the recipient's responsibility to ensure they are in compliance with all

applicable terms, conditions, and OMB guidance and requirements. Those organizations found to be in non-compliance may be found ineligible for future funding or designated high risk by the Grants Official for an award under this announcement.

2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards

All applicants must adhere to the regulations found in 2 CFR 200 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards.

BRANDING REQUIREMENTS

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

REPORTING REQUIREMENTS

Recipients are required to submit quarterly program progress and financial reports throughout the project period. Progress and financial reports are due 30 days after the reporting period. Final certified programmatic and financial reports are due 90 days after the close of the project period.

- First Quarter (October 1 – December 31): Report due by January 30
- Second Quarter (January 1 – March 31): Report due by April 30
- Third Quarter (April 1 – June 30): Report due by July 30
- Fourth Quarter (July 1 – September 30): Report due by October 30

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

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

The awardee must provide to INL an inventory of all the U.S. government provided equipment purchased with grant funds using the SF-428 forms on an annual basis.

[END OF SECTION VII]

TAB A: PROPOSAL GUIDELINES

Proposals should include the following components:

- Introduction and Problem Statement
- Planned Activities
- Indicators

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

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

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

In the proposal, there should be a clearly defined link between each of these elements:
Problem Statement → Planned Activities/Inputs → Process Indicators → Output Indicators → Outcome Indicators → Impact

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

Process Indicator	*50 women trained in energy efficiency standards*

Output Indicators, otherwise known as deliverables associated with the agreement, should be included. Unlike process indicators, outputs are what is produced, and are often tangible. At this level, it is the measurement of ability, knowledge, skills, or access. All indicators must include targets. Example of an output indicator involving the same participants:

Output Indicator	*80 percent of participants demonstrate at least 75 percent improvement in understanding of updated policies*

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

Outcome Indicator	*30 percent of efficiency standards being implemented in a participant's country as a result of participant's participation.*

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

TAB B: PROGRAM MONITORING AND EVALUATION PLAN AND PROJECT RISK ANALYSIS

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

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

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

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

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

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

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

- Indicators, as described in Tab A, as well as details on how each indicator will be measured, frequency of the measurements, units of measure, etc. Provide indicators at the output and outcome levels. Monitoring and evaluation plans should include a chart component that clearly delineates indicators and targets. All indicators must include measurable, numerical targets. (see attached sample Monitoring and Evaluation template)

- Establish, where possible, performance baseline data and expected performance targets for each indicator/outcome. In some cases, the baseline may be zero.
- Describe monitoring and evaluation tools, including methods or methodology, that will be used.
- Plans should describe the projected outcomes and a dissemination plan where applicable, and how the project's impact and effectiveness will be monitored and evaluated throughout the project.

PROGRAM RISK ANALYSIS

Risks are unavoidable – all programs inherently contain both internal and external risks. However, with proper identification and management, risks can be prepared for, minimized or mitigated. The purpose of a risk analysis is to identify the internal and external risks associated with the proposed program in the application, rate the likelihood of the risks, rate the potential impact of the risks on the program, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document. INL defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a program and should result in revisions to risk analysis documents and processes as necessary. Applicants should 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.

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

TAB C: BUDGET GUIDELINES

As explained in **SECTION IV: REQUIRED APPLICATION DOCUMENTS**, budget proposals must include:

- Summary Budget (with all OMB-approved budget categories)
- Detailed Line-Item Budget (with all OMB-approved budget categories)
- Summary and Detailed Line-Item Sub-grantee Budget(s) *(only if applicable)*
- Budget Narrative(s) (to break down, explain, and justify each line-item)

Budget and Budget Narrative templates are included under the Related Documents tab of this announcement on grants.gov. A Budget Narrative sample is provided below.

LINE-ITEM BUDGET NARRATIVE SAMPLE

A. Personnel

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

B. Fringe Benefits

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

C. Travel

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

Airfare

Please indicate purpose of trip, origin and destination (country/city), number of travelers, and unit cost per round trip

NOTE: All travel must be booked with economy class fares only and, where applicable, must comply with the Fly America Act.

Local Travel

Please indicate origin and destination (city), type of transportation, number of travelers and unit cost per traveler per trip.

Per Diem – Lodging and M&IE

Account for lodging, meals and incidentals for both participant and staff travel.

Lodging and M&IE should be broken out by number of days. Per diem rates must be prorated or removed if traveler will be provided refreshments and/or meals during trainings/conferences.

Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates. Official government rates for foreign locations can be found at https://aoprals.state.gov/web920/per_diem.asp.

D. Equipment
Equipment is defined as an item with a per-unit cost of $5,000 or more and a service life of more than one year. If the item meets these criteria, all federal procurement policies and procedures must be followed. If an item does not meet these criteria, it should be considered a supply and listed under cost category E. Please provide justification for any equipment purchase/rental in the budget narrative.

E. Supplies
List items separately using unit costs and the percentage of each unit cost that will be charged to the grant (with justification for the percentage allocated). Common items include laptops, pens/pencils, paper, and small electronics.

F. Contractual
Subgrants
For each subgrant, please provide a detailed line-item breakdown explaining specific services in a separate tab in the excel workbook. Subgrant budgets should include the same level of detail for personnel, fringe benefits, travel, equipment, supplies, other direct costs, and indirect costs required of the direct applicant. If indirect costs are charged on a subgrant budget, please include the subgrantee's NICRA. Please note that a subgrantee who receives $25,000 or more is required to have a UEI number.

Consultants/Contracts
Provide a breakdown of consultant agreements and contracts. Common line items include consultants (e.g. experts/trainers), service or commodity contracts, and speaker fees.

List number of people, daily or hourly rate, and duties/responsibilities if applicable. (e.g. 2 trainers x $150/day x 2 days).

Consultant/outside expert fees/honoraria should be consistent with the level of experience and based on a fair market value. Consultant fees and honorarium for 2020 should not exceed $680/day per person, according to USAID's consultant maximum daily rate.

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

H. Other Direct Costs
These will vary depending on the nature of the project. List items separately using unit costs and the percentage of each unit cost that will be charged to the grant (with justification for the percentage allocated). Line items including justifications using words such as "Miscellaneous," "Other," "Etc.", "Contingency Fund," and "Reserve Fund" are not permitted.

Single audit or 2 CFR 200 Subpart F audit costs can be included if they are not part of indirect costs. Only the portion of an organizational audit cost associated with this project can be included in the budget.

I. Indirect Costs

An organization with a NICRA must include a copy of their negotiated indirect cost-rate agreement with their application. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding. As such, it does not count against the submission page limitations. Applicants should indicate in the proposal budget how the rate is applied (e.g. to direct administrative expenses, to all direct costs, to wages and salaries only, etc.) and if any of the rate will be cost-shared.

Per 2 CFR 200.414, any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

Per 2 CFR 200.68, MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each 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. The budget narrative should include a justification of the MTDC calculation, clearly describing which costs will be covered if using the 10% de minimis indirect rate.

As described in 2 CFR 200.403, Factors Affecting Allowability of Costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The elected methodology must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time.

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

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

J. Cost Share/Cost-Effectiveness

Cost-sharing is the portion of program costs not borne by the Federal Government. While not a competitive element, INL encourages (but does not require) cost sharing, which may take the form of allowable direct or indirect costs offered by the applicant and/or in-country partners. Applicants should consider all types of cost sharing, including in-kind and public-private partnerships. The values of offered cost-share should be reported in accordance with (the applicable cost principles outlined in) 2 CFR 200.306. Other United States federal funding does not constitute cost sharing.

Examples include the use of office space owned by other entities; donated or borrowed supplies

and equipment; (non-federal) sponsored travel costs; waived indirect costs; and project activities, translations, or consultations conducted by qualified volunteers.

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

Please note: INL programs do not require cost share, but if it is included the recipient must maintain written records to support all allowable costs that are claimed as its contribution to cost share, as well as costs to be paid by the Federal government. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost sharing as stipulated in the recipient's budget, INL's contribution may be reduced in proportion to the recipient's contribution.

For information on Shared Cost Allocations, please reference 2 CFR 200.405.

BUDGET CONDITIONS AND RESTRICTIONS

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

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

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

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

Program income earned during the project period shall be retained by the recipient and, in accordance with the terms and conditions of the award, shall be used in one or more of the ways listed in the following:

- Added to funds committed to the project by the DOS and recipient and used to further eligible project or program objectives.
- Used to finance the non-Federal share of the project or program.
- Deducted from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

INL will consider budgeted line items for the following:

- External evaluations to assess the project's impact (costs must be built into the overall original budget proposal and must be reasonable);

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

The following cost elements **will not be reimbursed** and **are not allowable** in this program:
Publication of materials for distribution within the United States that are not related to the project/program;

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

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

TAB D: GUIDELINES FOR STANDARD FORMS

Organizations must fill out, sign, and submit the SF-42 and SF-424A as directed on www.grants.gov.

I. SF-424 APPLICATION FOR FEDERAL ASSISTANCE:

1. **Type of Submission:** Application
2. **Type of Application:** New
3. **Date Received:** Leave blank. This will automatically be assigned.
4. **Applicant Identifier:** Leave blank
5. **Federal Identifiers**
    a. **Federal Entity Identifier:** Leave blank
    b. **Federal Award Identifier:** Leave blank
6. **Date Received by State:** Leave blank. This will automatically be assigned
7. **State Application Identifier:** Leave blank. This will automatically be assigned
8. **Applicant Information:**
    a. **Legal Name:** Enter the legal name of the applicant organization. Do NOT list abbreviations or acronyms unless they are part of the organization's legal name.
    b. **Employer/Taxpayer ID Number (EIN/TIN):** Non-U.S. organizations enter 44-4444444 (no dash).
    c. **Organizational DUNS:** Enter the organization's UEI (Unique Entity Identifier) number. If a UEI/DUNS number is not required at time of submission, please enter 4444-44444 (without the dash).
    d. **Address:** Enter the address of the applicant.
    e. **Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.
    f. **Point of Contact:** Enter the name, title, and all contact information of the person to be contacted on matters involving this application.
9. **Type of Applicant:** Select an applicant type (type of organization).
10. **Name of Federal Agency:** Enter "Department of State"
11. **Catalog of Federal Domestic Assistance Number:** The CFDA number is normally 19.703 or 19.704 or 19.705. However, please see the NOFO to confirm.
12. **Funding Opportunity Number:** Enter the Funding Opportunity Number and title. This number will be automatically completed on electronic applications. Otherwise, it can be found in the NOFO.
13. **Competition Identification Number:** Enter the Competition Identification Number and title. This number will be automatically completed on electronic applications.
14. **Areas Affected by Project:** List the country or countries where program activities will take place in alphabetical order; for programs that will take place in more than one region enter "Global."
15. **Descriptive Title of Applicant's Project:** Enter the title of your proposed program (if necessary, delete pre-printed wording).
16. **Congressional Districts of:**

a. **Applicant:** If based in the U.S. please enter congressional district; if unknown or a foreign applicant, please enter "90."
b. **Program/Project:** For congressional district of program, please enter "90."

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

II. SF-424A BUDGET INFORMATION

Section A – Budget Summary

Row 1:
This should be auto-populated as "INL Grants" However, if it does not, please write "INL"
This should auto-populate. If not, please see the NOFO for the CFDA number.
Leave blank.
Leave blank.
Enter the amount of federal funds requested for this project
Enter the amount of any other non-federal funds that will contribute to this project.
Enter the total cost of this project

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

Section B – Budget Categories

Enter total project costs in each category in Column 1. Columns 2, 3, and 4 should be left blank. In Column 5, the form should automatically calculate the sum.

6a-h. Enter the amount for each object class category (include cost share).
6i. Enter the sum of 6a-6h
6j. Enter any indirect charges
6k. Enter the sum of 6i and 6j
Enter any program income that will be earned as a result of the project. If there is none, leave this section blank.

Section C – Non-Federal Resources
Only complete this section if your project includes applicant cost share or funds from other sources (Cost share is not required)

8a. Under Grant Program enter "INL "
8b. Enter your cost share amount
8c. Enter the amount of any other funding sources for this project
8d. Leave blank
8e. Enter the total amount for all non-federal resources (the form should automatically show this sum)

Rows 9, 10, and 11 should be left blank. Row 12 should automatically calculate the totals.

Section D – Forecasted Cash Needs
13. In the first column enter the amount of federal funds you are requesting for this project. This amount should equal the amount in Section A 1e.

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

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

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project
Rows 16, 17, 18, 19, and 20 should be left blank.

Section F – Other Budget Information
21. Direct Charges **–** Leave Blank
22. Indirect Charges – If Indirect Charges are shown in Section B 6, enter the type of Indirect Rate used (Provisional, Predetermined, Final, or Fixed)
23. Enter any comments

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

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