



**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:                            | Ukraine Law Enforcement and Justice Sector Reform                                                                                   |
| Funding Opportunity Number:                           | INL24CA0019-TravelLogistics-122923                                                                                                  |
| Program:                                              | INL Ukraine                                                                                                                         |
| Catalog of Federal Domestic Assistance (CFDA) Number: | 19.703 - Criminal Justice Systems                                                                                                   |
| Total Funding Available:                              | \$10,000,000.00 U.S. Dollars                                                                                                        |
| Funding Source:                                       | Post-Funds                                                                                                                          |
| Application Ceiling:                                  | Up to \$10,000,000.00 U.S. Dollars                                                                                                  |
| Application Floor:                                    | At least \$4,000,000.00 U.S. Dollars                                                                                                |
| Anticipated Number of Awards:                         | 1 award                                                                                                                             |
| Initial Project Implementation Length:                | 24 months                                                                                                                           |
| Estimated Project Start Date:                         | April 2024                                                                                                                          |
| NOFO Issuance Date:                                   | December 29, 2023                                                                                                                   |
| Deadline for Submission of Questions:                 | January 30, 2024 by 5:00 PM EST via email                                                                                           |
| Deadline for Submission of Applications:              | <b>March 4, 2024</b> by 11:59 PM EST via <a href="http://www.grants.gov">www.grants.gov</a>                                         |
| Assistance Type:                                      | Cooperative Agreement                                                                                                               |
| Applicant Types and Eligibility Categories:           | <u>Please see section C. ELIGIBILITY INFORMATION</u>                                                                                |
| INL Points of Contact:                                | Marco Horta (hortama@state.gov) - GO<br>Eric Brownstein ( <a href="mailto:brownstein@state.gov">brownstein@state.gov</a> ) – PO/GOR |

## 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.**

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## A. PROJECT DESCRIPTION

**Background:** The Bureau of International Narcotics and Law Enforcement Affairs of the U.S. Department of State in Ukraine announces an open competition for organizations to submit applications to carry out a project that supports a broad array of law enforcement and justice sector reform assistance programs in Ukraine. This support includes assisting the Ukrainian law enforcement and civilian justice sector entities with reforming Ukraine's overall goal for a greater Euro-Atlantic integration, particularly the EU accession. This assistance is part of the Department of State's multi-faceted response to support Ukraine to counter Russian aggression and secure its democratic future grounded in the rule of law and integrated with Europe.

**Priority Region/Countries:** Ukraine

**Problem Statement:** INL Ukraine seeks the support of programmatic, logistical, and administrative assistance to advance law enforcement and criminal justice sector reforms in Ukraine. In order to build capacity and achieve its Euro-Atlantic integration goals, Ukrainian staff often need to travel to observe best practices in the United States and Europe. The program itself will provide the training and resources to achieve successful reforms in Ukraine.

**Project Vision:** By supporting the Ukraine Law Enforcement and Justice Sector Reform program, relevant stakeholders in Ukraine and elsewhere will receive the necessary training to implement reforms and eventually reach EU accession goals and Euro-Atlantic integration. This vision aligns with Ukraine Assistance Strategy Objective 2, and ICS Mission Goal 2 and Mission Goal 3.

**Project Goal(s) and Objectives:** The Bureau of International Narcotics and Law Enforcement Affairs (INL) Section at U.S. Embassy Kyiv seeks applications from qualified organizations to assist with travel, training programs and operational support, under the authority of INL Ukraine staff, for Ukrainian government officials, civil society, and other relevant participants from the United States, Europe, or other countries in worldwide locations. The potential applicant will provide overall support for programmatic, logistical, and administrative assistance with the INL Ukraine's operational and capacity-building programs.

The project is comprised of the following objectives and corresponding activities:

The potential applicant will provide programmatic, logistical, and administrative support to the capacity-building program of INL Ukraine. The USG estimates that a minimum of 2,000 and maximum of 30,000 people will either attend INL Ukraine's operational capacity-building events or be utilized in an operational capacity in a 12-month period. Arrangements will be required for ongoing in-country operations, training at facilities in the United States, Europe, or other countries. The number of participants per event can range from just a few to over 100. The events usually last anywhere from one (1) day to six (6) months, but the average event is approximately one to two weeks in duration.

An example of an average month would be assisting with coordination of programs, travel, and lodging arrangements for 20 to 100 participants in two to five Ukrainian or European locations.

The potential applicant should be able to provide support seven days a week and, for urgent needs, respond to travel requests within two hours. If requested, the award recipient should be able to provide lodging, airline tickets, and meals within 24 hours of a request.

Proposals should include a cost estimate based on the administrative costs of organizational processing of plane tickets, lodging reservations, facilities rental, refreshments, bedding supplies, translation, electronic funds transfer, managing conferences and meetings, organizing trainings, and other associated costs. INL Ukraine understands that costs are estimates and the applicant will not know what fluctuations may exist in pricing over the course of the project period. Therefore, estimates should not be based on individual plane tickets and meeting locations, for example, but rather on the administrative costs of executing the capacity-building events or operational requirements.

The potential applicant shall be responsible for working with INL Ukraine regularly in planning and scheduling all events in less than five (5) working days after INL provides all the necessary information.

The U.S. government, INL Ukraine, and the organization will work together to determine the appropriate assistance needed for each capacity-building event. Furthermore, INL Ukraine and the potential applicant will meet after the award is made to develop a mutually-agreeable work plan for conducting the assistance program. Applicants should provide a suggested work plan in the grant proposal. Additionally, applicant organizations should identify their own specific objectives and measurable outcomes based on these program goals and the specifications provided in this solicitation. Indicators could include timeliness of services, quality of interaction between the award recipient and program participants, etc.

Applicants may design and propose their own proposals, which should be well-defined in the application.

**Project activities and deliverables:** Additional items not listed above may be included detailing INL's involvement in the Cooperative Agreement. Proposals should include, but are not limited to, the following activities:

- |                                                           |                                                           |
|-----------------------------------------------------------|-----------------------------------------------------------|
| 1) <b>Travel Documents</b>                                | 9) <b>Refreshments and Meals</b>                          |
| 2) <b>Travel Advances</b>                                 | 10) <b>Unused E-ticket Funding</b>                        |
| 3) <b>Airline Tickets/Air Transportation</b>              | 11) <b>Monthly Reimbursements</b>                         |
| 4) <b>Health, Travel, and Personal Property Insurance</b> | 12) <b>Unused Funds Settlement</b>                        |
| 5) <b>Interpretation and Translation Services</b>         | 13) <b>Database Management</b>                            |
| 6) <b>Ground Transportation</b>                           | 14) <b>Background Checks of Travelers</b>                 |
| 7) <b>Lodging</b>                                         | 15) <b>Exceptional Circumstances</b>                      |
| 8) <b>Event Management</b>                                | 16) <b>Customer Service and Corrective Action Reports</b> |

**Activity 1 – Travel Documents:** When required, the award recipient is responsible for assisting participants with obtaining appropriate travel documents such as visas, work permits (if required), immunization, costs for birth, health insurance, participants certification of narcotics offenses and

drug trafficking, identity certificates, and other documents needed to travel or attend events. Only costs authorized by the Federal Acquisition Regulations (FAR) will be allowed. If statutorily or policy required, participants of the travel service grant must be Leahy vetted prior to any funds being expended (See Activity 11).

**Activity 2 – Travel Advances:** When required, the award recipient shall provide the participants with a travel advance up to the maximum per diem amount authorized by the U.S. Department of State or lesser amount as agreed to by the award recipient and INL Ukraine. The applicant shall ensure the participant receives the travel advance with sufficient time, no later than one day prior to departure, to reduce the financial burden associated with the event. The advance can be in cash, debit card, wire transfer, direct deposit, or any other means not prohibited by U.S. or local laws.

**Activity 3 – Airline Tickets/Air Transportation:** When required, the organization shall provide the participant with an airline ticket. If statutorily or policy required, flights must comply with the Fly America Act. The potential applicant should work to guarantee that the best possible prices for airline tickets are being secured. Periodic reviews of pricing will be conducted by INL Ukraine, and pricing should, on average, be within 15% of the lowest published rate. INL Ukraine will inform as to the category of ticket to be purchased (such as restricted fare or other). All flight arrangements must comply with the Fly America Act, the award recipient shall verify participant information such names as in passports, vetting and visas before purchasing e-tickets. Awardee will be responsible for oversight of all arrivals and departures.

**Activity 4 – Health, Travel, Personal Property, and Other Insurance:** When required, the award recipient shall provide each participant, when traveling, with up to the maximum amount of insurance authorized by the FTR or FAR. The applicant must ensure that all participants have the appropriate level of insurance before the travel begins.

**Activity 5 – Interpretation and Translation Services:** When required, the award recipient is responsible for providing the necessary interpretation and translation services to support other activities. This could include translating training materials, preparatory reading, and schedules for participants or translating materials from the host government partners for the Department of State and its partners. In addition, the recipient is expected to secure interpretation services for trainings, study tours, etc. This could include renting or providing portable or stationary simultaneous translation equipment.

**Activity 6 – Ground Transportation:** When required, the award recipient shall arrange the use of rented vehicles for individuals or groups to support INL Ukraine. Ground transportation includes taxis, rented vehicles (sedans), pickup trucks, vans, train, or buses. If required by U.S. Embassy Kyiv Regional Security Office, the award recipient shall take all required security measures to protect the safety of participants during the ground transportation process. The protection could include the use of armored vehicles and require background checks on drivers. Ground transportation could include transportation to and from hotels to meeting facilities, to and from the airport and hotel, between sites of interest, etc. The award recipient shall ensure participants arrive at the sponsored event location at least 15 minutes before the event begins and shall take the necessary measures to ensure the vehicles meet Government of Ukraine and USG safety standards.

**Activity 7 – Lodging:** When required, the potential applicant is responsible for providing participants with adequate lodging such as hotels or apartments using the U.S. Department of State approved per diem rates as a guideline and in compliance with all U.S. Embassy Kyiv Regional Security Office policies. In some cases, the U.S. government may be able to obtain lodging at academy dormitories or other facilities. In these cases, the award recipient shall coordinate lodging arrangements directly with the U.S. government representative responsible. Per guidance of INL Ukraine, the award recipient on a case-by-case basis could be required to competitively bid longer term lodging stays.

The potential applicant should work to guarantee that the best possible prices for lodging are being secured. Periodic reviews of pricing will be conducted by INL Ukraine and pricing should, on average, be within 15% of the lowest published rate. The potential applicant could be required to provide bedding supplies such as pillows, blankets, and other associated supplies. The award recipient shall ensure that rented rooms are of adequate size to sleep occupants and take the necessary measures to ensure the rented lodging facilities meet U.S. or Government of Ukrainian sanitary and safety standards. Per guidance of INL Ukraine, the occupancy numbers will be defined on a case-by-case basis.

**Activity 8 – Event Management:**

- **General.** When required, the potential applicant shall organize events that support INL Ukraine’s capacity building objectives for the various parts of the Ukrainian government. An event could be a conference, a training, or any other type of activity that advances INL goals for the Ukrainian institutions it supports. The award recipient shall also support, when required, the administrative requirements for the attendance of INL sponsored travelers to conferences and other events that support INL capacity building goals.
- **Event Facilities.** When required, the potential applicant shall rent facilities to support the event. Because the nature of INL supported events can vary, so too will the type of facilities needed to meet the event objective. Example facilities include, but are not limited to: small conference rooms, large conference centers, outdoor facilities (in Ukraine or foreign countries) that support specific training objectives, training centers, or training academies.
- **Event Facility Support Services.** The potential applicant could be required to provide audio-visual, computer equipment, communications (such as internet, radios, cell phones, or other communications services), reception, cleaning, interpreter/translation services, and supplies to support an event’s stated objective. The award recipient shall take the necessary measures to ensure the rented event facilities meet U.S. and host country sanitary and safety standards, as well as all U.S. Embassy Regional Security Office policies.
- **Event Materials.** When required, the potential applicant shall prepare materials that support the event’s objectives. This could include, but is not limited to: obtaining design services for event materials, to printing training manuals, printing course packets, printing promotional material, procuring and printing name tags, etc. (Please see page 34 for Branding and Marking requirements for printed materials). The award recipient shall maintain express mail delivery services for sending materials or travel documents.
- **Event Keynote Invitees.** When required, the potential applicant shall help recruit/invite/contract with appropriate speakers, subject matter experts, trainers, and interpreters etc. to accomplish the event’s objectives. In the case of invited speakers, the award recipient may be required to pay honoraria that do not exceed the maximum allowable amount established in U.S. federal assistance guidelines based on factors such as reasonable rates, fair market value, profile, or level of expertise.

- **Event Fees.** When required, the potential applicant shall provide event fees as training expenses for participants. Event fees may be authorized and paid to the organization providing the conference or training. This can range from a conference entrance fee to paying specific fees for licenses associated with training courses deemed to be in the interest of the U.S. government.

**Activity 9 – Refreshments and Meals:** When required, the award recipient is responsible for providing participants with government approved per diem or meals such as hot breakfast, lunch, and dinner. When needed, the award recipient shall also provide snacks, coffee, tea, and non-alcoholic refreshments. Snacks and beverages shall be provided in the early morning, a couple of hours before lunch, and a few hours after lunch. The award recipient shall ensure that coffee, tea, and potable drinking water are available throughout the duration of the event. The award recipient may be needed to provide meals “to-go” so disposable packages may be needed. The award recipient shall take the necessary measures to ensure food and beverages meet U.S. or Government of Ukrainian sanitary standards.

**Activity 10 – Unused E-ticket Funding Reporting:** The potential applicant shall track unused e-tickets resulting from cancellations by participants, collect reimbursement whenever possible, and/or reuse the tickets for other travelers. The recipients shall maintain a database of unused tickets and provide a quarterly report to the Grants Officer Representative (GOR) with this information.

**Activity 11 – Monthly Reimbursements:** The potential applicant will submit **monthly invoices for reimbursement** to the Grants Officer and Grants Officer Representative (GOR). The recipient will receive disbursement of funds within 30 calendar days after invoice approval. The recipient organization shall take necessary measures for covering monthly expenses ranging from \$300,000.00 USD to \$1,000,000.00 USD.

The potential applicant must track and account for any cost increase or decrease of the budget due to fluctuations in exchange rates per the regulations outline in the 2 CFR 200.440 – Exchange Rate.

**Activity 12 – Unused Funds Settlement:** When required, the award recipient shall take required actions to recover unused funds resulting from cancellations by participants, vendors, facilities, etc. Voucher settlement includes obtaining receipts from hotels, boarding passes, and other documentation. In the event the award recipient owes money to a participant, settlement shall be made no later than 15 calendar days after the last day of the event/operational activity.

**Activity 13 – Database Management:** The potential applicant shall maintain accurate digital records of each participant, including name, parent organization, country of origin, event attended or operational activity, dates, costs per participant, accounting data of INL Ukraine’s project(s) that funded the event, and other information in a format mutually agreed to by INL Ukraine and the award recipient.

If statutorily or policy required, the award recipient is in charge of tracking required employment commitments of each training recipient (for example, a student sent to training in the United States for a year-long program may have to commit to several years of service). If the traveler breaks this

commitment, the award recipient must inform the INL Ukraine and seek to collect proper repayment.

The award recipient shall have an existing system for requesting and approving travel that is mutually agreed to by INL Ukraine and the award recipient. Supporting the administration and record-keeping for in-country, third-country, and U.S.-based travel and training programs. The features of the database should enable real-time input of participant cost and travel information. Data quality has to be ensured through the verification of data entered, and data approved by supervisory database administrators.

**Activity 14 – Background Checks of Travelers:** The services include the awardee assisting INL with the tracking status of personnel nominated to attend INL sponsored events. The tracking includes the awardee coordinating with U.S. government agencies responsible for the vetting process and includes the awardee of maintaining a list of vetted persons. Recipient must receive vetting clearances for each participant before travel. Leahy vetting will be conducted by the INL Ukraine. Participants of the service grant from host nations must be Leahy vetted.

**Activity 15 – Exceptional Circumstances:** The potential applicant shall be capable of providing ad-hoc administrative and logistical support for travel within 24 hours. The recipient will accommodate late travel and/or training requests whenever possible.

**Activity 16 – Customer Service:** The potential applicant will maintain a professional, customer-service focused staff that complies with U.S. Embassy Kyiv workplace policies and norms.

INL Ukraine and the potential applicant will work together to determine the appropriate assistance needed for each event/activity. Furthermore, INL Ukraine and the award recipient will meet after the award is made to develop a mutually agreeable work plan. Applicants should provide a suggested work plan in the grant proposal. Additionally, applicant organizations should identify their own specific objectives and measurable outcomes based on these program goals and the specifications provided in this solicitation. Indicators could include timeliness of services, quality of interaction between the award recipient and program participants, etc.

## **DESIRED RESULTS AND ILLUSTRATIVE INDICATORS**

By the end of the first year of the project, the selected applicant is expected to provide administrative, logistical, and programmatic support for INL Ukraine programs, for a minimum of 2,000 and a maximum of 30,000 people during INL capacity-building events in a 12-month period. The number of participants per event can range from just a few to over one hundred or more. The events usually last anywhere from one (1) week to six (6) months, but the average event is approximately five (5) to ten (10) days.

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 Ukraine will

regularly monitor the project's performance to assess whether project activities are on track and targets are being achieved.

Outcome 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.

| <b><i>Example Outcome Indicators</i></b>                             | <b><i>Illustrative targets:</i></b> |
|----------------------------------------------------------------------|-------------------------------------|
| Percentage of rating on customer feedback forms                      | TBD                                 |
| Percentage of travelers receiving advances within two days of travel | TBD                                 |

Applicants are strongly encouraged to demonstrate how their project might leverage funding through other organizations.

The recipient may propose additional outputs, indicators, and/or targets as appropriate. 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.

**Participants and Audiences:** Ukrainian law enforcement and justice personnel, military, civil society, government officials and other relevant participants from Ukraine, the United States, Europe, or other countries in the “Ukraine Law Enforcement and Justice Sector Reform and Anti-Corruption” program.

## **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.

**This is a cooperative agreement.**

For cooperative agreements, INL may be substantially involved in the following ways:

- 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;
- Approval of specified key personnel;
- Approval of sub-award Recipients (if any), and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
- Approval of Monitoring and Evaluation Plan
- Other country specific approvals will be included in the award documents.

## 3. Funding Notice:

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: April 1, 2024

Number of awards anticipated: 1 award

Award amounts: awards may range from a minimum of \$4,000,000 to a maximum of \$10,000,000

Total available funding: \$10,000,000

Type of Funding: FY 2023/24 and FY 2022/23 INCLE under the Foreign Assistance Act

## 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 educational institutions

Applicants must also meet the following requirements to be eligible to apply to this NOFO:

- Applicants must have demonstrated experience implementing similar capacity building programs. INL reserves the right to request additional background information on organizations that do not have previous experience administering similar programs and/or federal grant awards.
- Applicants must have the ability to produce course materials, deliver training, and conduct evaluations in English and Ukrainian, if necessary. 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.
- Applicant must have a database in place a secure network for storing participant data and will utilize the existing database, a tailor-made records management system for obtaining, acquiring, and storing request and approval information and documents pertaining to the monitoring and evaluating of training activities.
- Applicants must be able to respond to the NOFO and be able to mobilize in a short period of time.

## 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](http://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.
- 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 this grant announcement.***

## **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](http://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](http://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***

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, target country(ies), 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 issue to be addressed, including why it is important to address, what the main causes of the issue are, and who has power to effect change on the issue; suggested approaches and solutions (with evidence to support suggestions); and suggestions for revision to NOFO goals and objectives if needed.
- **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 program objectives; and objectives, if achieved, should result in achievement of program goals. 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.
- **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.
- **Future Funding Plan/Sustainability:** Briefly discuss the plan for ensuring the sustainability of the project (i.e., that the project continues to have impact beyond the grant period) or note if sustainability is unlikely without continued support. Applicants may also include a brief section outlining how additional funds could potentially be used to expand work into additional activities or countries beyond the initial project period.

□ **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.*

☐ **Project Risk Analysis**

A template is included under the Related Documents section of this NOFO announcement on [www.grants.gov](http://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). May be 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 any experience the organization has in the target country or region.
- Confirm whether the organization is a registered business entity within the target country or region.

☐ **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.

☐ **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](http://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.

#### ☐ **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](http://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.
- 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-grantee that has an approved NICRA, and includes NICRA charges in the sub-award budget, a copy of the sub-grantee 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.)*

#### **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](http://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, and
- ☐ 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](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](mailto: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](http://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](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](http://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](mailto: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.

Quality of System to Manage Travel and Events – Total Possible Points: 40

- Responsive to the solicitation (10)
- Appropriate in the country/regional context (5)
- Ease of use (5)
- Tracking and reporting capabilities (5)
- Mobile accessible (10)
- Reliable accounting software (5)

Cost Effectiveness – Total Possible Points: 10

- The overhead and administration of the proposal, including salaries and honoraria, are explained and justified for the work involved (4)
- All budget items are necessary, appropriate and linked to program objectives (3)
- Personnel costs are reasonable for the work involved (3)

Program Monitoring and Evaluation (Total Possible Points – 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 (5)
- Includes an external midterm and/or final evaluation or justification for why one is not included (5)

Institution's Record and Capacity Rating – Total Possible Points: 35

- The proposal demonstrates an institutional record of successful service provision in Ukraine and or Europe with respect to capacity building support, where similar activities are already taking place, provides an explanation as to how new activities will not duplicate or merely add to existing activities (10)
- Personnel and institutional resources are adequate and appropriate to achieve the project's objectives (5)
- Roles, responsibilities, and brief bios/resumes are included for primary staff, and demonstrate relevant professional experience (5)
- Ability to respond to urgent travel requests (5)
- Applicant is a current/past Department of State grantee where performance (5) 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 and illustrates success in similar sized projects (5)

**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 (FAPIS)**

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

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

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

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

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

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

**Information needed:** Full name, date of birth, country of birth, country of citizenship, gender, rank, title, and organizational affiliation. Please also include the activity and date that the activity will take place—if the person will participate throughout an extended program, please note the timeframe. Participant information should be submitted in the format attached.

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

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

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

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

#### **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.

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-grantee 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-grantee(s), applicants should include detailed sub-grantee 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-grantees 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-grantees 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-grantees.

- **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, Wi-Fi, 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-grantees (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.