



**U.S. DEPARTMENT OF STATE**  
**Bureau of International Narcotics and Law Enforcement Affairs (INL)**  
**Notice of Funding Opportunity (NOFO)**  
**Revised May 31, 2024**

Announcement Type:	Request for Federal Assistance Award Applications
Funding Opportunity Title:	<i>Countering Wildlife Trafficking and Other Natural Resource Crime in Africa, Asia, and Latin America</i>
Funding Opportunity Number:	<b>DFOP0014009</b>
Program:	Countering Wildlife Trafficking
Catalog of Federal Domestic Assistance (CFDA) Number:	19.705 - Transnational Crime
Total Funding Available:	\$30,000,000 U.S. Dollars
Funding Source:	Domestic-Funds
Application Ceiling:	Applicants can refer to the specific goals on page 5 to see the maximum request for their proposal.
Application Floor:	Applicants can refer to the specific goals on page 5 to see the maximum request for their proposal.
Anticipated Number of Awards:	16-30 awards
Initial Project Implementation Length:	24 months unless otherwise specified
Estimated Project Start Date:	October 2024
NOFO Issuance Date:	April 22, 2024
Deadline for Submission of Questions:	May 22, 2024 by 11:59 PM EST via email
Deadline for Submission of Applications:	<b>July 1, 2024</b> by 11:59 PM EST via <a href="http://www.grants.gov">www.grants.gov</a>
Assistance Type:	Grant
Applicant Types and Eligibility Categories:	Organizations only. Refer to <u>Section C: Eligibility Information</u> for more information.

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## **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

**Overview:** The Bureau of International Narcotics and Law Enforcement Affairs of the U.S. Department of State announces an open competition for organizations to submit applications to carry out projects to counter wildlife and timber trafficking in Africa, Asia and Latin America, with an aim to build upon partner countries' civilian law enforcement capacities and capabilities by: (1) Increasing the disruption and interdiction of illicit trade, (2) Strengthening investigative and enforcement functions, (3) Enhancing prosecutorial and judicial capacity, and (4) Developing and implementing cross-border and regional law enforcement coordination and information sharing.

**Priority Region/Countries:** Africa, Asia, Latin America

**Problem Statement:** Wildlife trafficking and natural resource crimes are lucrative forms of transnational organized crime (TOC) that have decimated populations of species, such as elephants, rhinos, pangolins, and more. Wildlife trafficking and natural resource crimes fuel corruption, threaten the rule of law and peace and security, spread disease, and destabilize communities that depend on wildlife for biodiversity and eco-tourism revenues. Criminal organizations are increasingly involved in this illicit trade, especially the illegal movement of these commodities from source countries to demand countries, such as the movement of ivory from Africa to Asia. Traffickers exploit porous borders and weak institutions to profit from trading in these commodities as they are transported through multilevel illicit networks of criminal intermediaries and government officials.

**Program Vision:** This program seeks to enhance law enforcement and justice sector efforts to counter wildlife and timber trafficking, ultimately helping to disrupt trafficking operations and removing opportunities for criminal organizations to profit from illicit proceeds derived from these illegal trades.

**Project Goal(s) and Objectives:** To strengthen national criminal justice institutions and regional or international coordination in Africa, Asia, and Latin America by supporting successful enforcement, investigative, and prosecutorial functions for wildlife and other natural resource crime. Proposed projects should be designed to strengthen the capacity of organizations that combat natural resource crime and actors in countries most affected by wildlife trafficking and other natural resource crime in Africa, Asia, and Latin America.

Strategic goals and objectives are listed below with associated award ceilings and floors. Applicants should address only one strategic goal per application but may address one or more objectives. Applicants may submit multiple applications. Applications that address more than one objective will not be given preference over ones that address only one – instead applications will be evaluated on their merit and anticipated impact. Where single countries are listed, each application may encompass any or all the objectives listed for that country and may include cross-border activities with neighboring countries where appropriate.

Applicants are encouraged to propose innovative solutions within the scope of the objectives, but activities should be specific and appropriate to the country and/or regional context. Proposals must include one or more of the target regions listed.

INL is interested in supporting programs that will deliver long-term institutional change to the challenges of the target countries and have the support of government partners within the criminal justice sector. INL encourages proposals that present a long-term vision and strategically selected activities based on needs, the organization's comparative advantage and expertise, and the funding landscape of other key stakeholders. Applicants should propose sustainable solutions that impact the root issue and will achieve improved practices beyond the lifetime of the agreement. Applicants are encouraged to provide a summary of their organizational strategic goals in the target country, and how the proposal supports that plan. Applications will also be prioritized if they demonstrate awareness and synergies with other natural resource crime programs in the country(ies), or that bring together a consortium of partners to implement program activities in a strategic and coordinated way.

Applications will be judged and selected on their ability to achieve the strategic goals and objectives and have host country buy-in and commitment to implement the proposed activities. Letters of support from the host government are required, and memorandums of understanding (MOUs) between the applicant and the host government lead agency are preferred. INL will prioritize proposals with the highest demonstrated government buy-in and support.

## **Africa**

### **1. Zimbabwe**

*Award Ceiling: \$1,000,000*

*Award floor: \$300,000*

*Anticipated number of Awards: 1-3*

Countries/Areas: Zimbabwe

Zimbabwe faces significant challenges in combating wildlife trafficking due to insufficient law enforcement resources, a lack of specialized training, and corruption within government agencies, which all hinder the effective implementation of measures to prevent such crimes. The Matusadona National Park is particularly vulnerable to transnational organized criminal networks who benefit from Zimbabwe's weak enforcement capabilities and use Lake Kariba to traffic high-value wildlife products into Zambia. Additionally, Zimbabwe's isolation within the Kavango Zambezi Transfrontier Conservation Areas has left it more vulnerable than its neighbors to poaching threats.

**Goal 1: Zimbabwe law enforcement is properly trained and equipped to better interdict, investigate, and combat wildlife trafficking in national parks and protected areas.**

**Objective 1.1:** Increase the ability of enforcement authorities to coordinate park-level responses to wildlife trafficking and poaching.

**Objective 1.2:** Build investigative and enforcement functions to target the transit of wildlife products.

**Objective 1.3:** Strengthen cross-border cooperation and interdiction efforts between Zimbabwe, Botswana, Zambia and/or Namibia.

## 2. South Africa

*Award Ceiling: \$1,000,000*

*Award floor: \$300,000*

*Anticipated number of Awards: 1-6*

Countries/Areas: South Africa

South Africa (particularly Kruger National Park) has been a primary target for poachers since the poaching crisis began in 2008, due to its large population of rhinos, expansive size, and shared border with Mozambique. Poachers are also often involved in other violent crime, including cash-in-transit heists, ATM bombings, and renting firearms to other criminal groups. Rangers working within public and private game reserves have been targeted with retaliatory assassinations related to rhino poaching, with at least one ranger killed. More recently, poaching syndicates have increasingly shifted to other state, provincial and private reserves, especially in the KwaZulu-Natal province. Further, the opaqueness of South Africa's court system, and its heavily siloed provincial court recording system, makes it nearly impossible to determine the status of ongoing wildlife crime cases. This has led to poor knowledge among prosecutors, wildlife authorities, and judges responsible for handling these cases, and a poor overall deterrence effect.

**Goal 2: Strengthen law enforcement and judicial capacity in South Africa to effectively tackle wildlife crimes by improving transparency, coordination, and prosecution capabilities at national and provincial levels.**

**Objective 2.1:** Increase the ability of provincial or park level enforcement authorities to coordinate responses to wildlife trafficking and poaching. *Activities may be localized to one protected area or several within a province. Private game reserves are not eligible.*

**Objective 2.2:** Improve national or provincial capabilities to prosecute and adjudicate cases and related offenses through training, case monitoring, watching briefs, and legal reform.

## 3. Democratic Republic of the Congo

*Award Ceiling: \$2,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 1-4*

Countries/Areas: DRC

DRC is the epicenter for wildlife, timber, and other natural resource trafficking in Central Africa. Key challenges include a lack of technical capacity and resources, insufficient training, and corruption. INL will prioritize proposals that tackle these issues through the provision of training, procurement of equipment, and support to ICCN and other relevant law enforcement authorities to curtail or eliminate wildlife trafficking across the country.

**Goal 3: To improve DRC's ICCN and other park law enforcement's capacity to combat wildlife trafficking by enhancing training, equipment, collaboration, and regional coordination.**

**Objective 3.1:** Increase the ability of ICCN and park level enforcement authorities to prevent, detect, and investigate wildlife traffickers and their broader networks through specialized training and equipment.

**Objective 3.2:** Improve capabilities to prosecute and adjudicate cases and related offenses through training, mentoring, and case monitoring.

**Objective 3.3:** Strengthen cross-border cooperation and interdiction efforts between DRC and Angola and/or Zambia.

#### 4. Malawi

*Award Ceiling: \$1,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 1-2*

Targeted Countries/Areas: Malawi

The Department of National Parks and Wildlife (DNPW) serves as Malawi's primary agency for wildlife and natural habitat management and conservation. Tasked with enforcing wildlife laws, leading anti-poaching efforts, overseeing protected areas, and engaging with communities on conservation, DNPW rangers are crucial to the country's environmental efforts. However, the department faces considerable challenges, including insufficient funding, a shortage of personnel, and a lack of specialized training and equipment. While Malawi's legal framework for wildlife conservation is in place, DNPW's effectiveness is sometimes hindered by judicial issues due to gaps in knowledge, potential corruption, legal loopholes, enforcement gaps, and resource constraints. These factors complicate DNPW's ability to fulfill its mandate, underscoring the need for support and improvements in both areas.

**Goal 4: Provide Malawi's Department of National Parks and Wildlife (DNPW) rangers with thorough training and resources to effectively combat wildlife trafficking in protected areas and enhance collaboration with the judicial system to ensure successful prosecutions of wildlife criminals.**

**Objective 4.1:** Increase the skills and knowledge of DNPW rangers to better investigate, interdict, and combat wildlife trafficking in protected areas through the provision of equipment and specialized training.

**Objective 4.2:** Improve the capabilities to prosecute and adjudicate cases and related offences through trainings, use of forensic analysis, mentoring, case mentoring, and legislative reform.

**Objective 4.3:** Strengthen cross-border cooperation and interdiction efforts between Malawi and Zambia and/or Tanzania and Mozambique.

#### 5. Western Indian Ocean

*Award Ceiling: \$500,000*

*Award floor: \$350,000*

*Anticipated number of Awards: 1*

Target Countries/Areas: Comoros, Mauritius, and Seychelles.

Following the third ‘Ministerial Conference on Maritime Security and Safety in the Western Indian Ocean’ in November 2023, the Conference recognized the need for unified efforts by CITES State Parties along Western Indian Ocean maritime routes to protect endangered species and mitigate the environmental and economic effects of illegal wildlife trade. The Conference specifically commended the collaboration amongst TRAFFIC, Trade in Wildlife Information eXchange platforms (TWIX), the International Union for Conservation of Nature (IUCN), and the IOC adoption of an action plan in January 2023.

The action plan addresses four thematic areas: 1) legal aspects in relation to CITES; 2) improved databases and analysis; 3) detection, identification, and management of seized species; and 4) efforts in four key pillars: sharing of information, building capacity and raising awareness, coordinating efforts on investigations, and updating/harmonizing legislation.

**Goal 5: Enhance the capacity of Indian Ocean Commission (IOC) member states to better investigate, interdict, and combat wildlife trafficking at the national and regional level.**

**Objective 5.1:** Conduct a comprehensive assessment of the maritime security landscape in the Western Indian Ocean region on the illegal wildlife trade, trafficking routes, legal frameworks, law enforcement capabilities, and regional cooperation of IOC member states.

## **6. Evidence Security**

*Award Ceiling: \$1,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 1-2*

Target Countries/Area: Nigeria, Cote d’Ivoire, Cameroon, Republic of Congo, Malawi, DRC, Angola, Mozambique and/or other African countries.

A major gap in the efforts to combat wildlife trafficking is a lack of proper evidence handling procedures, chain of custody management, evidence storage and security, and disposition. Issues with proper evidence management and storage is a common problem across Africa, resulting in the inability of agencies to properly submit evidence to court, mishandling and degradation of evidence, and evidence reentering the illicit market. This program seeks to fill a gap in Africa to improve partner countries’ abilities to maintain evidence security and chain of custody during and following investigations of wildlife trafficking cases. The program will focus on providing technical assistance and training to improve evidence continuity over its entire lifetime, from acquisition to disposal, focusing on issues such as chain of custody, developing formal standards of management and administration, evidence handling, record keeping and accountability, roles and responsibilities within partner agencies, improving security measures, and the proper disposal of evidence. INL has previously supported similar programming in Nigeria, Cote d’Ivoire, Cameroon, Malawi, Zambia, Kenya, Uganda, DRC, and Angola. Proposals that plan to work in any of those countries should be aware of and build on any prior work to ensure continuity and sustainability in the long-term.

**Goal 6: Governments in Africa are able to maintain security and chain of custody of evidence during and following investigations of wildlife trafficking cases.**

**Objective 6.1:** Establish formal protocols, guidelines, and systems regarding evidence security and chain of custody of seized wildlife products.

**Objective 6.2:** Provide training and mentorship on evidence management, chain of custody, etc. to wildlife law enforcement officers, customs, prosecutors, police, evidence custodian, and other relevant stakeholders.

**Objective 6.3:** Provide equipment assistance and support to relevant agencies to upgrade evidence lockers/storage.

**Objective 6.4:** Promote responsible maintenance of limited seized evidence following investigations and prosecutions, and destruction of seized wildlife product stockpiles no longer of evidentiary value.

## **7. Illegal Logging and Associated Trade in the Miombo Woodlands Range**

*Award Ceiling: \$2,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 2-4*

Target Countries: Miombo woodlands range inclusive of Angola, southern DRC, Zambia, Zimbabwe, Mozambique, Malawi, Tanzania, and/or Burundi.

The Miombo woodlands, spanning across central, eastern, and southern Africa, represent one of the continent's largest and most ecologically significant woodland ecosystems. The biodiverse region faces escalating threats of illegal logging and trafficking of timber by criminal groups who exploit gaps in country legal frameworks, law enforcement capacity, and the global demand for timber and timber products.

INL will prioritize proposals that tackle these issues through the provision of training, procurement of equipment, and increased support to law enforcement authorities who are responsible for responding to these threats at ports, airports, border crossings, and other key points of transit. Proposals should focus on developing and implementing strategies that promote cross-border cooperation among the nations encompassed by the Miombo woodlands, facilitating joint efforts in combating illegal logging and trade. Applicants are encouraged to carefully deconflict their proposed activities with ongoing initiatives by USG partners like the U.S. Forest Service, as well as other programs that combat natural resource crime in the relevant countries, to ensure synergy and avoid duplication of efforts.

**Goal 7: To reduce the ability of criminal groups to carry out and profit from illegal logging and trafficking of timber from the Miombo Woodlands Range.**

**Objective 7.1:** Increase the capacity of law enforcement to detect, interdict, seize, and transfer to investigatory agencies, illegal timber products, through raising awareness, training, and equipment.

**Objective 7.2:** Improve national and regional law enforcement capacity to prevent, detect, and investigate timber trafficking through specialized training and equipment.

**Objective 7.3:** Improve national and regional capabilities to prosecute and adjudicate cases against timber crimes and related offenses to result in appropriate sentencing outcomes.

**Objective 7.4:** Strengthen anti-corruption efforts within relevant agencies to enhance government response, improve government accountability, and strengthen transparency as it relates to timber crime.

## **8. Illegal Logging and Associated Trade in West and Central Africa**

*Award Ceiling: \$2,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 1-2*

Target Countries: Ghana, Cote d'Ivoire, Benin, Togo, Liberia, Senegal, Sierra Leone, Cameroon, Republic of Congo.

Illegal logging is most prevalent in the continent's tropical rainforests in West Africa and the Congo Basin. Foreign demand for rare hardwoods from these forests has dramatically increased. A significant driver is Chinese demand for teak, redwood and mahogany. According to the United Nations Office on Drugs and Crime, Africa's share of rosewood exports to China rose from 40% in 2008 to 90% in 2018. Illegal logging often relies on government corruption and elite collusion with criminal networks. This subverts the rule of law and accountable governance.

**Goal 8: To reduce the ability of criminal groups to carry out and profit from illegal logging and trafficking of timber in West and Central Africa.**

**Objective 8.1:** Increase the capacity of law enforcement to detect, interdict, seize, and transfer to investigatory agencies, illegal timber products, through raising awareness, training, and equipment.

**Objective 8.2:** Improve national and regional law enforcement capacity to prevent, detect, and investigate timber trafficking through specialized training and equipment.

Activities within this objective may include all levels of enforcement— from ranger training and assistance aimed at preventing and deterring illegal logging in significant source areas for high-value timber products, to improving investigations following seizures and other evidence of timber trafficking in target countries. Improving investigations can include a range of tools such as expanding intelligence-based enforcement operations, enhancing analysis capacity to track money laundering and financial crimes, and strengthening skills to effectively use electronic and digital evidence in investigations, such as mobile device forensics. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context. Applicants may also propose regional or cross-border enforcement interventions – such as improving

coordination and sharing information between several countries that may serve as source/transit/destination points for illicit timber products.

**Objective 8.3:** Improve national and regional capabilities to prosecute and adjudicate cases against timber crimes and related offenses to result in appropriate sentencing outcomes.

**Objective 8.4:** Strengthen anti-corruption efforts within relevant agencies to enhance government response, improve government accountability, and strengthen transparency as it relates to timber crime.

## Asia

### 9. Indonesia

*Award Ceiling: \$1,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards : 1*

Countries/Areas: Indonesia

Indonesia is a major country in the supply chain for illegal wildlife products. With its central location, porous borders, and easy transit, Indonesia often serves as a transit stop for illegal shipments moving to their final destination. Due to its diverse population, many areas serve as a market for buyers from both within and outside of the country. Lastly, with its biodiversity and endemic species, the country is a source for poaching. When wildlife cases are brought to prosecution, they fail to result in meaningful sentences, thus not sufficiently deterring the illicit wildlife trade. Combating wildlife trafficking requires strong transnational cooperation between Indonesia and source, transit, and destination countries in Southeast Asia. INL will continue a range of counter wildlife trafficking programs, both bilaterally and through transnational programs, aimed at building capacity within the criminal justice sector, specifically on investigations and prosecutions to disrupt wildlife trafficking, as well as increase public education on the adverse effects of natural resource crimes.

**Goal 9: To increase Indonesia’s will and ability to counter wildlife trafficking and the domestic and transnational actors, including organized transnational criminal organizations, that perpetrate this heinous crime through increased prosecutorial capacity.**

**Objective 9.1:** Enhance investigative capabilities to counter wildlife trafficking to present stronger cases at the local, provincial, national, and/or regional level.

Activities within this objective should focus on providing assistance that strengthens cases by improving investigations through a range of tools such as expanding intelligence-based enforcement operations, enhancing analysis capacity to track money laundering and financial crimes, improved chain of custody of evidence, and strengthening skills to effectively use electronic and digital evidence in investigations. If relevant, the applicant can also include anti-corruption activities.

**Objective 9.2:** Improve Indonesia’s capabilities to prosecute and adjudicate cases against wildlife crimes and related offenses with appropriate sentencing structures.

Proposals should work to sensitizes judges to the detrimental economic, security, and public health effects of wildlife trafficking where prosecutions for wildlife trafficking cases are weak or non-existent, including by using Species Victim Impact Statements. Under this objective, applicants may also propose work that seeks to improve Indonesian laws that will make enforcement of wildlife trafficking more effective, such as legal reform, case precedent, and use of predicate offenses. If relevant, the applicant can also include anti-corruption activities.

## **10. Pakistan**

*Award Ceiling: \$500,000*

*Award floor: \$300,000*

*Anticipated number of Awards: 1-2*

Priority Region/Countries: Pakistan

Pakistan is a source, transit, and destination country for large consignments of live animals, their parts, and derivatives and its rich biodiversity, geographic location and porous borders perpetuate the problems. Weak laws and protections, low capacity of law enforcement, widespread corruption and a lack of security and surveillance allow organized crime groups to thrive and further exacerbate this illicit economy. To overcome these challenges, support is needed to raise the awareness of wildlife trafficking in Pakistan as a serious crime, to increase the judiciary’s awareness of the issues, to equip them with the skills and resources needed to prepare robust cases and successful prosecutions. Equally, law enforcement agencies and protected area managers engaged on the front line of wildlife crime need greater awareness, education, and capacity building to better enable them to interdict, investigate and combat wildlife trafficking. Investments are also needed in technology to support data management and intelligence, community led ‘passive law enforcement’ and surveillance, development of informant networks and/or mechanisms for anonymously reporting intelligence, and to foster partnerships between protected area managers, law enforcement agencies, judiciary, buffer zone managers, and the communities that live within them. Interventions aimed at strengthening communication, building trust, and fostering collaboration among law enforcement, rangers, decision makers (for example through SAWEN) and communities is also needed.

**Goal 10: Pakistan is better equipped with resources, tools, and training needed to combat wildlife trafficking.**

**Objective 10.1:** Improve awareness, skills, and the ability of front-line law enforcement (including rangers and protected area managers) to enforce, intercept and investigate wildlife trafficking. Where appropriate, this may include local community groups.

Activities within this objective could focus on (but are not limited to) providing needs assessments, appropriate level training, and the provision of essential resources, tools and/or equipment that enable front line law enforcement to undertake their roles more safely, effectively, and efficiently. Activities could also include

establishment of community based anti-poaching groups, fostering collaboration and trust between communities and conservation law enforcement, and delivery of basic training and equipment to communities to support CWT efforts of law enforcement and protected area managers.

**Objective 10.2:** Improve awareness, skills and the ability of prosecutors and judges to successfully prosecute and convict perpetrators of illegal wildlife trafficking.

Activities within this objective could focus on (but are not limited to) undertaking legal gap analysis, appropriate level training, and the provision of essential resources, tools and/or equipment that enable prosecutors and judges to undertake their roles safely, better informed, and more effective, and efficiently.

**Objective 10.3:** Improve inter-provincial and regional coordination among front-line law enforcement agencies (including rangers and protected area managers), prosecutors, and judges to improve Pakistan’s ability to combat wildlife trafficking at a national and regional level.

Activities within this objective could focus on (but are not limited to) interventions that support and strengthen collaboration and coordination locally, nationally, and regionally (SAWEN), across the spectrum of combating wildlife trafficking stakeholders.

## **11. Mongolia**

*Award Ceiling: \$1,000,000*

*Award floor: \$400,000*

*Anticipated number of Awards: 1-3*

Mongolia could face irreversible ecological damage caused by natural resource crimes including illegal mining, logging, and wildlife trafficking, which are degrading Mongolia’s natural resources and ecosystems across the Mongolian landscape. These challenges significantly impact Mongolia’s economic, environmental, national security, and social prosperity. Despite its economic significance, activities such as illegal ASM are causing significant environmental degradation and negatively impacting good governance. Weak legislation and environmental protections, coupled with an informal and unregulated mining industry, have facilitated ASM growth in Mongolia. Against the backdrop of Mongolia’s rapid economic and social transformation in recent decades, Mongolia has experienced increased activity related to natural resource crimes and its global role in these illegal activities. Mongolia’s geographic location landlocked between the People’s Republic of China (PRC) and Russia makes it vulnerable to and influenced by the markets and policies of those two countries. While Mongolia is not a major transit route for illegal natural resources such as timber and wildlife at this point, infrastructure including the direct railroad and highway that runs north-south through Mongolia from Russia to the PRC is a known trade route for other forms of illicit trafficking, including drugs and people. Like in many other countries, natural resource crimes in Mongolia are still considered a minor crime. A network of poachers, traders, and smugglers involved from harvesting to export, capitalize on a lack of detection mechanisms, insufficient laws, inadequate enforcement of legislation, and weak penalties to execute their crimes. Smugglers utilize sophisticated techniques to circumvent

uncoordinated law enforcement agencies, which often lack the equipment, technology, and capacity to identify criminals. Poverty and corruption propel these illegal activities further. Support is needed to increase judges' and magistrates' understanding and to raise the level of these crimes in Mongolia as a serious crime within the judiciary and equip prosecutors with the skills and resources needed to prepare robust cases and achieve successful prosecutions. Conservation law enforcement agencies and protected area (PA) managers, engaged on the front lines, need greater awareness, education, and capacity building to interdict, investigate, and combat natural resource crimes across the Mongolian landscape.

**Goal 11: Mongolia is better equipped to counter natural resource crimes at the landscape level.**

INL encourages and will give preference to proposals that seek to address more than one natural resource crime at the landscape level.

**Objective 11.1:** Increase the ability and effectiveness of conservation law enforcement (including rangers), government decision makers and/or communities to combat natural resource crimes.

Activities within this objective could focus on (but are not limited to) providing needs assessments, appropriate level training, and the provision of essential resources, tools and/or equipment that enable conservation law enforcement officers to undertake their roles more safely, effectively, and efficiently. Development and application of innovative technologies to support monitoring and surveillance (drones, spatial monitoring tools, AI detection systems, and real-time alerting) and associated training. Activities could also include basic training and/or activities that foster greater collaboration between communities, rangers, protected area managers and conservation law enforcement.

**Objective 11.2:** Improve legal foundations, skills, and the ability of prosecutors and judges to successfully prosecute and convict perpetrators of natural resource crimes.

Activities within this objective should focus on (but are not limited to) undertaking legal gap analysis, appropriate level training, fostering collaboration/communication, and the provision of essential resources, tools and/or equipment that enable prosecutors and judges to undertake their roles safely, better informed, and more effective, and efficiently.

**Objective 11.3:** Improve the capacity of law enforcement officials to detect, investigate, and combat corruption, and financial crime in connection with natural resource crimes.

Activities within this objective could focus on (but are not limited to) providing support for existing working groups (Financial Intelligence WG), focus on anti-corruption interventions including with the private sector (banks), supply chain mapping, collaboration, and mentorship.

## **12. India/Nepal**

*Award Ceiling: \$350,000*

*Award floor: \$150,000*

*Anticipated number of Awards: 1-3*

Priority Region/Countries: India (Arunachal Pradesh, Nagaland, Assam, Uttar Pradesh, Uttarakhand, Himachal Pradesh, and Punjab. Other priority regions can be proposed with clear justification), Nepal (high Himalayas and the Terai, other priority regions can be proposed with clear justification).

NOTE: To be considered for awards under this goal, applicants from India must be FCRA registered, non-government organizations. In Nepal, applicants must be local non-government, civil society organizations with an in-country presence.

Porous borders and a lack of capacity of law enforcement continues to exacerbate the illegal trade in wildlife and other natural resources like timber. These illicit products travel through established trading corridors across border regions in India and Nepal. Poachers increasingly source wildlife from protected areas and national parks to supply traffickers who then move wildlife parts and derivatives across borders. Greater efforts must be made to reinforce the vital forest refuges within these priority illicit trade corridors and to equip the rangers and local judiciary and judges with the skills, equipment, and tools needed to do their job effectively. It is also necessary to invest in innovative technologies for data management and intelligence, community led 'passive law enforcement' and surveillance, development of informant networks and/or mechanisms for anonymously reporting intelligence, and to foster partnerships between protected area managers, law enforcement agencies, judiciary, buffer zone managers, and the communities that live within them. Buffer zone communities are a crucial ally in developing informant networks on external poaching activities in their areas so engaging and equipping community groups looking after protected areas, surrounding buffer zones, and the forest corridors connecting them together, will help to reinforce protected areas and safeguard the wildlife that travels between these various connected landscapes, preventing illicit trade routes from expanding further. Collaboration between governments in the transboundary areas where these illegal wildlife trade routes exist remains an issue, and hence interventions aimed at strengthening communication, building trust, and fostering collaboration among law enforcement, rangers, decision makers and communities is needed.

**Goal 12: India and Nepal are no-longer used as major illicit transit corridors for the movement of illegal wildlife and wildlife parts.**

**Objective 12.1:** Support the CWT efforts of rangers, protected area managers, and local law enforcement through engagement with communities living in priority illicit trade corridors.

Activities within this objective could include (but are not limited to) providing support to front line conservation law enforcement and protected area managers through the establishment of community based anti-poaching groups, fostering collaboration and trust between communities and conservation law enforcement and delivery of basic training and equipment to communities to support CWT efforts of local law enforcement and protected area managers.

**Objective 12.2:** Improve the ability of local law enforcement, rangers, protected area managers, judiciary and/or communities to disrupt priority illicit trade corridors.

Activities within this objective could focus on (but are not limited to) the establishment of local wildlife crime control bureaus, targeted and appropriate level CWT training (including sniffer dog handling), provision of resources, tools, data management, and equipment, and fostering law enforcement collaboration and trust building.

**Objective 12.3:** Apply innovative technologies and unique approaches to dismantle illicit trade routes.

Activities within this objective could focus on (but are not limited to) the development of new, or provision/expansion of existing technologies that support CWT efforts such as drones, mobile phone applications and detection systems, and systems that enable secure regional cooperation and information exchange.

**Objective 12.4:** Deepen the understanding of the illicit trade in wildlife and/or the criminal networks responsible and identify national and/or regional level interventions to combat them.

Activities within this objective could focus on (but are not limited to) interventions which deepen and expand the understanding of the illegal trade in wildlife such as species trade assessments, trade route surveys, and/or activities which develop strategic plans/strategies to address these challenges at a local, national, or regional level.

### **13. Rangers and Protected Areas**

Award Ceiling: \$2,500,000

Award Floor: \$300,000

Anticipated number of awards: 1-4

*Note: Applicants may apply for up to a 36-month period of performance under this goal.*

Priority Countries/Areas: Uzbekistan, Kyrgyzstan, Kazakhstan, Tajikistan, Bhutan, Bangladesh, Sri Lanka, Laos, Vietnam, Thailand, Indonesia, Malaysia, Philippines.

Poachers and wildlife and timber traffickers continue to source wildlife and timber from Asia's protected areas and national parks because many lack basic resources (including staff and equipment), needed to protect and manage them effectively, while corruption and weak laws further exacerbate the problem. However, wildlife does not adhere to park boundaries. Large volumes of wildlife are poached from forest corridors, community managed forests, and buffer areas adjacent to these protected areas where resources are almost non-existent. Donor interventions focused heavily on ranger training and capacity building, often overlook the essential tools, equipment, and services needed to translate the training into action on the ground. Greater efforts must be made to reinforce Asia's vital wildlife and timber strongholds and to equip the rangers that protect them with the essential equipment and tools required to do their job effectively. It is also vital to invest in community led 'passive

law enforcement' and surveillance, and to foster partnerships between protected area managers, law enforcement agencies, buffer zone managers, and the communities that live within them. Buffer zone communities are a crucial ally in developing informant networks on external poaching activities in their areas so engaging and equipping community groups looking after protected areas, surrounding buffer zones, and the forest corridors connecting them together, will help to reinforce protected areas and safeguard the wildlife that travels between these various connected landscapes.

**Goal 13: Safeguard wildlife within Asia's protected and priority non-protected areas from poaching and trafficking**

Proposals can include one or multiple countries from the focus country list and one or multiple objectives outlined below. However, INL seeks proposals that maximize the impact of interventions and discourages proposals that focus on more than four countries. INL discourages proposals that attempt to address all focus countries and/or objectives, however regionally focused activities where the outcome/impact benefits more than four countries will also be considered.

**Objective 13.1:** Provide rangers and conservation law enforcement with equipment and resources required to improve their ability to effectively safeguard wildlife across Asia's protected and priority non-protected areas. Where appropriate, this may include local community groups.

Activities within this objective could focus on (but are not limited to) interventions which allow rangers and conservation law enforcement officers (within and adjacent to priority protected and non-protected landscapes) to undertake their role safely, effectively, and efficiently. Activities can include provision of essential non-lethal equipment, tools and resources, basic services, and the application of innovative technology. Activities can also include community groups adjacent to protected areas to support the CWT efforts of rangers, protected area managers, and law enforcement.

**Objective 13.2:** Provide tools and equipment to support efforts to prevent the poaching and trafficking of wildlife from Asia's protected and priority non-protected areas.

Activities within this objective could focus on (but are not limited to) interventions that directly support the safe, effective, and efficient operation of priority protected and non-protected landscapes such as application of spatial monitoring and new technologies, essential equipment, modes of transport, communications, and delineation of park boundaries.

**14. Illegal Logging and Associated Trade in Southeast Asia**

*Award Ceiling: \$2,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 2-4*

Target Countries: Cambodia, Indonesia, Malaysia, Philippines, Thailand, and/or Vietnam.

Illegal logging and associated trade (ILAT) fuels transnational criminal organizations (TCOs) while robbing governments and local communities of their livelihoods. INL aims to achieve specific objectives to reduce the illegal trade in timber through effective programming at the national, regional, and international levels in key source, transit, and destination locations in Southeast Asia. Proposals can include one or multiple countries from the focus country list and one or multiple objectives outlined below. No preference will be given for including more countries or objectives; it is more important to focus on depth of impact than covering all areas. INL leverages its unique foreign assistance authorities to support host-nation investigatory and prosecutorial capacity in relation to these crimes to disrupt the higher-level syndicates involved.

**Goal 14: To reduce the ability of criminal groups to carry out and profit from illegal logging and trafficking of timber in Southeast Asia.**

**Objective 14.1:** Increase the capacity of law enforcement to detect, interdict, seize, and transfer to investigatory agencies, illegal timber products, through raising awareness, training, and equipment.

Activities within this objective should focus on improving interdiction efforts in ports, airports, and other border checkpoints that are identified chokepoints or transit points for trafficking timber. Activities can include training and assistance to a wide range of actors such as customs officers, border officials, airport and port authorities, and law enforcement, as well as coordination with shipping and air transit industries. Applicants are encouraged to propose innovative solutions within the scope of the objective; however, activities should be specific and appropriate to the country context. Activities should account for existing programs. Activities may coordinate with and be complimentary to the existing foreign assistance programs, but should not be duplicative of existing efforts. They may build upon or leverage existing engagements.

**Objective 14.2:** Improve national, regional, provincial, and district-level law enforcement capacity to prevent, detect, and investigate timber trafficking through specialized training and equipment.

Activities within this objective may include all levels of enforcement— from ranger training and assistance aimed at preventing and deterring illegal logging in significant source areas for high-value timber products, to improving investigations following seizures and other evidence of timber trafficking in target countries. Improving investigations can include a range of tools such as expanding intelligence-based enforcement operations, enhancing analysis capacity to track money laundering and financial crimes, and strengthening skills to effectively use electronic and digital evidence in investigations, such as mobile device forensics. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context. This includes developing a sustainability plan to ensure that efforts and equipment can be applied beyond the period of performance. Applicants may also propose regional or cross-border enforcement interventions – such as improving coordination and sharing

information between several countries that may serve as source/transit/destination points for illicit timber products.

**Objective 14.3:** Improve national and regional capabilities to prosecute and adjudicate cases against timber crimes and related offenses to result in appropriate sentencing outcomes.

Activities within this objective should focus on providing assistance that strengthens case management, enhances prosecutorial skills, improves chain of custody, and sensitizes judges to the detrimental effects of timber trafficking in countries where prosecutions for timber trafficking cases are weak or non-existent. Under this objective, applicants may also propose work that seeks to improve the host countries' laws that will make enforcement of timber trafficking more effective. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context. Where appropriate, interventions should consider utilizing technology to streamline operations, improve transparency, and expand reach. Applicants may also propose regional cooperation mechanisms on the prosecution of illegal logging and associated trade – such as improving coordination and sharing information between several countries that may serve as source/transit/destination points for illicit timber products.

**Objective 14.4:** Strengthen anti-corruption efforts within relevant agencies to enhance government response, improve government accountability, and strengthen transparency as it relates to timber crime.

Activities within this objective should focus on supporting legal, institutional, and/or policy changes that reduce vulnerability to corruption and increases accountability and transparency within government institutions responsible for interdicting, investigating, or prosecuting timber trafficking cases. This includes customs agencies, environmental authorities, financial authorities, anticorruption agencies, and other enforcement and justice sector entities. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context.

## **Latin America**

### **15. Natural Resource Crimes in Latin America**

*Award Ceiling: \$3,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 2-4*

Target Countries/Area: Latin America

INL aims to achieve specific objectives to reduce the illegal trade in timber and/ or gold mining through effective programming at the national, regional, and international levels in key source, transit, and destination locations in Latin America. INL leverages its unique foreign assistance authorities to support host-nation investigatory and prosecutorial capacity in relation to these crimes to disrupt the higher-level syndicates involved.

**Goal 15: To reduce the ability of criminal groups to carry out and profit from illegal logging and trafficking of timber and/or gold mining in Latin America.**

**Objective 15.1:** Improve national and regional law enforcement capacity to prevent, detect, and investigate timber trafficking and/or gold mining through specialized training and equipment.

Activities within this objective may include all levels of enforcement— from training and assistance aimed at preventing and deterring illegal logging or mining to improving investigations following seizures and other evidence in target countries. Improving investigations can include a range of tools such as expanding intelligence-based enforcement operations, enhancing analysis capacity to track money laundering and financial crimes, and strengthening skills to effectively use electronic and digital evidence in investigations, such as mobile device forensics. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context. Applicants may also propose regional or cross-border enforcement interventions – such as improving coordination and sharing information between several countries that may serve as source/transit/destination points.

**Objective 15.2:** Improve national and regional capabilities to prosecute and adjudicate cases against timber crimes and/or gold mining, and related offenses to result in appropriate sentencing outcomes.

Activities within this objective should focus on strengthening case management, enhancing prosecutorial skills, improving chain of custody, and sensitizing judges to the detrimental effects of timber trafficking and/ or gold mining in countries where prosecutions are weak or non-existent. Under this objective, applicants may also propose work that seeks to improve the host countries’ laws that will make enforcement of these crimes more effective. Applicants are encouraged to propose innovative solutions within the scope of the objective and utilize predicate offenses, such as money laundering or corruption, but activities should be specific and appropriate to the country context. Where appropriate, interventions should consider utilizing technology to streamline operations, improve transparency, and expand reach. Applicants may also propose regional cooperation mechanisms on prosecutions such as improving coordination and sharing information between several countries that may serve as source/transit/destination points.

**16. Counter Wildlife Trafficking Latin America**

*Award Ceiling: \$3,000,000*

*Award floor: \$500,000*

*Anticipated number of Awards: 3-4*

Target Countries/Area: Latin America

**Goal 16: Reduce poaching and trafficking of protected wildlife and their parts originating from, transiting through, and/or sold in Latin America as a transnational crime.**

INL seeks to strengthen the capacity of civil society and governments to deter, detect, investigate, prosecute, and adjudicate illegal, transnational wildlife poaching and/or trafficking cases in Latin America.

**Objective 16.1:** Enhance and promote legislative and regulatory frameworks.

Activities within this objective should focus on legal frameworks to identify gaps and opportunities for legal and regulatory reform, identify opportunities for use of ancillary regulations and approaches for investigation and prosecution, and/or streamline the wildlife trafficking enforcement chain, to provide a clear framework for improved prosecution and sanctioning. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context.

**Objective 16.2:** Improve law enforcement capabilities to deter, detect, investigate, prosecute, and adjudicate cases of wildlife trafficking and related facilitative crimes.

Activities within this objective should focus on strengthening the enforcement chain and operational structures, and by developing baseline information, data management structures, and law enforcement capacity to improve the effectiveness of counter wildlife poaching and trafficking efforts within and between nations. Where appropriate, interventions should consider utilizing technology to streamline operations, improve transparency, and expand reach. Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to the country context.

**Objective 16.3:** Develop international cooperation among law enforcement and prosecutors in source, transit, and destination countries to detect, investigate, and prosecute criminal organizations involved in wildlife trafficking by implementing collaborative, sub-regional investigations on IWT.

Applicants are encouraged to propose innovative solutions within the scope of the objective, but activities should be specific and appropriate to each regional and country context.

**Project activities and deliverables:** At a minimum, applicants should be prepared to provide INL with the following deliverables dependent upon the activities and interventions proposed:

- Training modules and curriculums (prior to release).
- All reports produced with INL support (trade analysis, gap analysis, baseline assessments) (prior to release).
- Summary outcomes of workshops and seminars convened with INL support.
- Additional deliverables may be identified following award.

**Evaluation Criteria:** Applications will be judged and selected on their ability to achieve the focus objectives and have host country buy-in and commitment to implement the proposed activities. Letters of support from the host government are required, and memorandums of understanding

(MOUs) between the applicant and the host government lead agency are preferred. INL will prioritize proposals with the highest demonstrated government buy-in and support.

Applicants should address only one strategic goal per application but may address one or more objectives within that goal. Applicants may submit multiple applications. Applications that address more than one objective will not be given preference over ones that address only one – instead applications will be evaluated on their merit and anticipated impact.

Applications should propose activities consistent with one or more of the proposed objectives. Applicants are encouraged to propose innovative solutions within the scope of the goals and objectives, but activities should be achievable, specific and appropriate to the country and/or regional context.

Proposals with a clear vision for how activities, outcomes and outputs will be delivered and how they support achievement of the overall goal objective, will be considered highly. Applicants must consider carefully how project outcomes and impacts will be monitored, measured, and evaluated and must allocate a portion of their budget to monitoring and evaluation of program activities and outcomes (this must be reflected as a line item in the detailed budget). More information regarding the evaluation process can be found on page 34.

Proposals should ensure that they deconflict with and complement, as much as possible, similar programs taking place within the focus country/region. INL encourages applications that demonstrate knowledge of similar efforts in the target region and to ensure that their proposals complement rather than duplicate this work.

Applicants should work to identify baseline capacity levels and goals, existing and past project efforts, and previous implementation issues when building a proposal. Applicants should also display an understanding of national policies, governmental structures and entities.

Applicants should ensure that all activities undertaken to support rangers are consistent with the International Ranger Code of Conduct and/or guidelines including but not limited to the Global Ranger Competencies. [Resources - International Rangers Federation](#).

INL is supportive of training interventions where recipients have or will be provided with the tools and resources necessary to apply the training on the ground. Where these tools and resources are not available, INL encourages interventions to fulfill these needs concurrently.

**Participants and Audiences:** Applicants should identify target audiences, specific demographics, and the geographic areas 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.

**Utilize Local Resources and Expertise** INL values involving local community experts to help conduct programming, since their knowledge of the local context and persons involved in illegal trade will strengthen the program's outcomes. We encourage collaborating with and using local resources and experts in the region when possible.

We encourage proposals that are innovative, leverage existing partnerships and technologies, and engage, empower, and support the development of local NGOs and partner organizations within the focus countries. INL encourages local NGOs to be active partners in program design, management, and implementation.

**Social Safeguards** The proposal must clearly articulate an understanding of how the work outlined in the proposal may negatively impact local communities (including human rights considerations), if relevant. Applicants must provide a detailed social safeguards plan within their risk analysis that clearly outlines the social risks and measures applicants will put in place to mitigate those risks. It is incumbent upon the applicant to write a social safeguards plan tailored to their organization and proposed program. More information on this additional requirement can be found on page 29.

**Project Expansion:** INL is interested in supporting long-term, sustainable solutions to the challenges in the target countries. If the project is successful, INL will consider the option of an award modification to expand the project to other areas or countries in the region, 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 additional activities or countries in future years. Applicants are strongly encouraged to demonstrate how their project might leverage funding through other organizations.

## B. FEDERAL AWARD INFORMATION

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

### 1. Project Implementation Period

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

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

### 2. Assistance Type

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

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- or project-specific approvals will be included in the award documents.

### 3. Funding Notices

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

Length of performance period: 24 months (unless otherwise specified)

Anticipated program start date: October 2024

Number of awards anticipated: 16-30 awards (dependent on amounts)

Award amounts: awards range are specified in the goals and objectives pages

Total available funding: \$30,000,000

Type of Funding: FY 2023 INCLE Funds 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:

- Demonstrate host-government support and the ability to work in the target country(ies).

### 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 may submit multiple proposals, but each one may only address one **goal**. 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 its programs and activities. INL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status.
- All applicants must provide a workplace free from harassment and bullying for all individuals, including but not limited to grant personnel and INL personnel.
- Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in any sub-awards issued under this grant award.

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

## **D. APPLICATION AND SUBMISSION INFORMATION**

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

### **1. How to Apply and Submit Questions**

This opportunity is posted on [www.grants.gov](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. When emailing questions, please include the Opportunity Number and NOFO Title in the subject line of the email. 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 **should** submit the following:

- **Change Map (see template) or equivalent,**
- **Illustrative Performance Indicator Reference Sheet, (see template)**
- **In addition to project-specific indicators, all applicants should also include the interagency END Act indicators to their performance monitoring plan and report quarterly. These indicators are as follows:**
  1. **Number of people trained and/or received resources (disaggregated by gender, position)**
  2. **Number of successful enforcement actions by arrests, prosecutions, convictions, and sentencing**
  3. **Quantity and/or estimated dollar value of seized wildlife, assets, and/or proceeds**
  4. **Documentation of the state of interagency or intergovernmental collaboration (description of collaboration/event, description of effectiveness of collaboration/event)**

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

*Note 2: Reporting of performance narratives and indicator data in INL's DevResults database is required once project implementation is underway.*

*Note 3: Reporting of financial reports and performance narratives in INL's MyGrants System is required once project implementation is underway.*

#### **Project Risk Analysis**

Applicants should provide a detailed risk analysis that clearly outlines the project risks and measures applicants will put in place to mitigate those risks. It is incumbent upon the applicant to write a risk analysis tailored to their organization and proposed program. The risk analysis should also include the **Social Safeguards Plan** that articulates an understanding of how the work outlined in the proposal may negatively impact local communities (including human rights considerations), if relevant. A template is included under the Related Documents section of this NOFO announcement on SAMS Domestic. 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 (if subrecipient) is being proposed** – *Maximum 3 pages*
  - Introduce and provide relevant information about key partner organizations and sub-recipients
  - Briefly describe the division of labor and/or distinct roles and responsibilities among the applicant organization and its partners
  - If proposing a sub-recipient, please briefly describe the applicant organization’s experience related to managing sub-recipients
  
- Letters of Support** – *Required*
  - Applicants must 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-recipient that has an approved NICRA, and includes NICRA charges in the sub-award budget, a copy of the sub-recipient organization's most-recent NICRA ***must*** be included in the application

**10% de minimis Rate:**

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

**Applicant Management Capabilities**

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

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

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

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

**Organizational Audit**

- If the applicant organization is required to undergo an audit (per regulations outlined in 2 CFR 200.500 – Subpart F), a complete copy of the organization's

most-recent audit must be submitted. (The financial statement is not a substitute for a single audit report. The Single audit report is an additional requirement for domestic and foreign organizations that spend \$750,000 or more in federal funds in the fiscal year.)

- If the applicant organization is not required to undergo an audit (per the regulation cited above), a brief explanation must be submitted with the application. This explanation shall include confirmation that the organization is under the threshold for which an audit is required and/or plans for the organization to undergo an audit in the future.
- Responses to the Pre-Award Risk Survey in reference to the Organizational Audit does not satisfy this requirement. Please provide the required explanation in addition to the Pre-Award Risk Survey.

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

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

All organizations, whether based in the United States or in another country, must have a Unique Entity Identifier (UEI) and an active registration with the SAM.gov. A UEI is one of the data

elements mandated by Public Law 109-282, the Federal Funding Accountability and Transparency Act (FFATA), for all Federal awards.

### 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>.

**Note: As of April 2022, a DUNS number is no longer required for federal assistance applications.**

### 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 Commercial and Government Entity (NCAGE) code or CAGE code to apply for non-DoD foreign assistance funding opportunities.** If an applicant organization is mid-registration and wishes to remove a CAGE or 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) using the following language: “I do not intend to seek financial assistance from the Department of Defense. I do not wish to obtain a CAGE or NCAGE code. I understand that I will need to submit my registration after this incident is resolved in order to have my registration activated.”

**Organizations based outside of the United States and that DO NOT plan to do business with the DoD should follow the below instructions:**

Step 1: Proceed to SAM.gov to obtain a UEI and complete the SAM.gov registration process. SAM.gov registration must be renewed annually.

**Organizations based outside of the United States and that DO plan to do business with the DoD in addition to Department of State should follow the below instructions:**

Step 1: Apply for an NCAGE code by following the instructions on the NSPA NATO website linked below:

NCAGE Homepage:

<https://eportal.nspa.nato.int/AC135Public/sc/CageList.aspx>

NCAGE Code Request Tool (NCRT):

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.

### ***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.

#### 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.

#### Project Analysis & Design – Total Possible Points: 45

- Analysis of the problem is insightful and accurate. Insightful analysis includes a thorough discussion of the main causes and scope of the issue the project seeks to address and discussion of who has power to effect change on the issue (10)
- Suggested approaches and solutions (i.e., the theory of change) are: (10)
  - Based on good evidence; and
  - Appropriate given the problem, its causes, and its scope
- Proposed implementation plan is: (12)
  - Aligned with suggested approaches and solutions
  - Feasible given timeline, resources, and context
  - 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
- Proposal includes a gender, equity, and inclusion analysis addressing the ways in which women, gender diverse persons, and members of other marginalized and underrepresented groups, including those with intersecting aspects of identity, might affect and be affected by this project, (2)
- Description of likely challenges to implementation plan, including risks of harm to organization staff, project participants, and/or others, is thorough and mitigation strategies are appropriate 4)
- Applicant considers the gender, equity, and inclusion analysis as part of risk assessment by identifying possible risks to participants as a result of their participation in line with Do No Harm principles. (2)
- Analysis and planning for sustainability is realistic (5)

### Program Monitoring and Risk – Total Possible Points: 30

- Change Map includes indicators for each goal and objective; and proposed indicators are useful for decision making, accurate in measuring the intended result, reliable, and timely (10)
- Illustrative Indicator Reference Sheet includes selected standard indicators; provides three valid indicators for goals, objectives, or sub-objectives in the change map; and demonstrates a thorough plan for data collection (10)
- Risk assessment is thorough and realistic, addresses challenges in the operating environment, and proposes adequate strategies to mitigate risks to the project (5)
- Social Safeguards plan adequately outlines how the project may negatively impact local communities and provides detailed mitigation measures including but not limited to grievance redress mechanisms (as appropriate) (5)

### Institution's Record and Capacity Rating – Total Possible Points: 10

- The applicant demonstrates an institutional record of successful programs in the proposed country/region and program area (2)
- Professional experience of staff and institutional resources are adequate and appropriate to achieve the project's objectives (2)
- The roles and responsibilities are clearly delineated among staff and partners (2)
- Applicant is a current/former INL grantee and they successfully manage/managed the project OR the applicant has not worked with INL previously and demonstrates experience in managing similar-sized projects (2)
- Applicant submits copies of organization-wide policies and procedures on Preventing Sexual Exploitation and Abuse or explains how the applicant plans to develop such policies, which should also apply to sub-recipients. (2)

### Cost Effectiveness – Total Possible Points: 15

- Activity-related costs are realistic, appropriate, and clearly linked to project objectives (5)
- Personnel costs (e.g., staff salaries, contractor rates, and honoraria) are reasonable given the amount of work and oversight needed to manage the project (5)
- Administrative costs (e.g., staff travel, supplies, office costs) are necessary, justified, and in good proportion to direct activity costs (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 (FAPIIS)**

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

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

## **F. AWARD ADMINISTRATION INFORMATION**

### **1. Federal Award Notices**

The grant award or cooperative agreement will be written, signed, awarded, and administered by the Grants Officer. The DS-1909 award agreement is the authorizing document and will be provided to the recipient for review and signature via email or MyGrants. The recipient may only start incurring program expenses beginning on the official project start date, unless pre-award costs are authorized in the award agreement.

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

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

### **2. Administrative and National Policy Requirements**

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

- [2 CFR 25 - UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT](#)
- [2 CFR 170 - REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION](#)

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

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

- Guidance for Grants and Agreements in Title 2 of the Code of Federal Regulations (2 CFR), as updated in the Federal Register’s 85 FR 49506 on August 13, 2020, particularly on:
  - Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR part 200.205)
  - Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (2 CFR part 200.216)
  - Promoting the freedom of speech and religious liberty in alignment with *Promoting Free Speech and Religious Liberty* (E.O. 13798) and *Improving Free Inquiry, Transparency, and Accountability at Colleges and Universities* (E.O. 13864) (2 CFR parts 200.300, 200.303, 200.339, and 200.341)
  - Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR part 200.322)
  - Terminating agreements in whole or in part to the greatest extent authorized by law, if an award no longer effectuates the program goals or agency priorities (2 CFR part 200.340)

### **3. Program-Specific Requirements**

#### State Department Leahy Amendment Vetting Requirements

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

The recipient will be required to exercise due diligence to ensure compliance with the Leahy provision and State Department policy, and to cooperate with the State Department in

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

#### **4. Reporting Requirements**

##### Recipient Reports

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

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

##### Foreign Assistance Data Review

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

## APPENDIX A: PERFORMANCE MONITORING PLAN

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

Requirements for INL Performance Monitoring are met through three documents:

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

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

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

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

## APPENDIX B: PROJECT RISK ANALYSIS

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

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

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

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

## APPENDIX C: BUDGET AND BUDGET NARRATIVE

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

### A. Budget Proposal

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

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

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

### B. Budget Narrative

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

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

#### Category A. Personnel

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

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

### Category B. Fringe Benefits

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

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

### Category C. Travel

This category outlines travel planned for staff and participants.

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

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

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

### Category D. Equipment

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

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

### Category E. Supplies

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

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

### Category F. Contractual

- **Sub-grants**

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

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

- **Consultant Fees and Contracts**

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

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

#### Category G. Construction

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

#### Category H. Other Direct Costs

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

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

#### Category I. Total Direct Costs

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

#### Category J. Indirect Costs

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

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

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

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

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

- **De Minimis Rate**

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

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

### Cost Share

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

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

## **C. Budget Allowances and Restrictions:**

### Program Income

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

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

### Cost Share

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

#### Considered Costs

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

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

#### Unallowable Costs

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

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

#### INL Grants Officer Specific Approvals

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

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

#### Additional Notices

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

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