



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

Announcement Type:	Request for Federal Assistance Award Applications
Funding Opportunity Title:	Gang Resistance Education and Training (G.R.E.A.T.) Program Evaluation and Outcomes Study for El Salvador, Honduras, Panama, and Costa Rica.
Funding Opportunity Number:	INL21CA0036-GRETEval-CARSI-08182021
Program:	Central America Regional Security Initiative (CARSI)
Catalog of Federal Domestic Assistance (CFDA) Number:	19.705 - Transnational Crime
Total Funding Available:	\$2,025,000 U.S. Dollars
Application Ceiling:	\$600,000 USD (El Salvador) \$475,000 USD (Panama) \$800,000 USD (Honduras) \$150,000 USD (Costa Rica)
Application Floor:	Floor amounts as noted above for each country
Anticipated Number of Awards:	Four (4) awards (One award per country to the same implementer)
Initial Project Implementation Length:	36 months
Estimated Project Start:	December 2021
NOFO Issuance Date:	August 18, 20221
Deadline for Submission of Questions:	September 17, 2021 By 11:59 PM EST via email
Deadline for Submission of Applications:	October 18, 2021 by 11:59 PM EST via <a href="http://www.grants.gov">www.grants.gov</a>
Assistance Type:	Cooperative Agreement
Applicant Types and Eligibility Categories:	Organizations only. Refer to <u>Section C: Eligibility Information</u> for more information.
INL Points of Contact:	Cheryl Price ( <a href="mailto:PriceCH@state.gov">PriceCH@state.gov</a> ) Linda Sanchez ( <a href="mailto:SanchezLM@state.gov">SanchezLM@state.gov</a> )

## EXECUTIVE SUMMARY

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 U.S. Government clearly identified transnational crime as a threat to public safety and national security, and committed through the National Security Strategy to pursue transnational threats to their source. The Administration’s strategic approach recognizes that international security depends on the cooperation of strong, sovereign nations that respect the rights of their citizens while advancing safety and security. 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 and diplomatic engagement.

Drug trafficking and associated violence—including violence that drives irregular migration to the United States—are not the only threats to our homeland against which we must remain vigilant. Financial crime, cybercrime, and intellectual property theft cost the U.S. economy – including U.S. businesses and individual citizens – billions of dollars each year. Human smugglers and transnational criminal organizations (TCOs) that traffic in people, weapons, wildlife, and other contraband imperil the safety of the American people. We also see TCOs operating with hostile foreign powers. Our strategic competitors and rogue states skillfully operate below the threshold of military conflict, challenging U.S. interests and leadership through new methods of influence and coercion.

INL strengthens the criminal justice sector capacities of our partners and allies to manage transnational threats more effectively before they reach U.S. borders or impact U.S. interests. Our work promotes U.S. leadership by advancing a rules- and norms-based international order grounded in the rule of law. We lead U.S. government efforts to develop new, and implement existing, international standards on drug supply and drug demand reduction and against corruption and organized crime. We draw from the widest range of U.S. expertise in our implementation of criminal justice capacity-building programs, and through our promotion of international cooperation, common standards, and interoperability, our work contributes to effective investigations of crimes. We work closely with U.S. law enforcement agencies to develop and deliver both foundational skills and advanced skills ranging from basic police training to complex cybercrime and money laundering investigative techniques. This work enhances critical relationships between U.S. law enforcement entities and their foreign counterparts. We deliver security through justice.

INL’s foreign assistance programs and diplomatic engagement are critical tools in advancing U.S. policy objectives. One of our greatest strengths is our flexibility to confront emerging challenges, but we can be most effective if we are strategic in how and where we engage to build partner nation capacity. Accordingly, this strategy sets up a framework for understanding how INL prioritizes foreign assistance and diplomatic engagement, which identifies three strategic goals to guide INL’s efforts:

1. Disrupt or deter significant illicit drug trafficking and other transnational criminal activity that threatens U.S. national security, public safety, or drives irregular migration to the United States.
2. Reduce instability in strategically vital regions and strengthen the resilience of partners facing malign influence.

3. Drive global action through international engagement that promotes interoperable criminal justice systems and common standards to combat shared criminal threats.

The Bureau's priority programs support three inter-related objectives:

1. **BUILDING CRIMINAL JUSTICE SYSTEMS:** Institutionalize rule of law by developing and expanding criminal justice systems to strengthen partner country law enforcement and judicial effectiveness, foster cooperation in legal affairs, and advance respect for human rights;
2. **COUNTER-NARCOTICS:** Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations, and;
3. **TRANSNATIONAL CRIME:** Minimize the impact of transnational crime and criminal networks on the United States and its allies through enhanced international cooperation and foreign assistance.

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## A. PROJECT DESCRIPTION

The purpose of this project is to evaluate the methods, outcomes, and effectiveness of the G.R.E.A.T. Program through scientifically validated data sources and studies conducted with kids who have completed the course curriculum since 2010 and their teachers, school principals, and parents. The evaluation will measure effectiveness of El Salvador, Honduras, Panama, and Costa Rica's progress toward achieving the GREAT programs objectives among at risk youth. The targeted population is 170,767 at risk youth in El Salvador, 487,890 in Honduras, 150,000 in Panama, and 45,685 in Costa Rica; that have completed the program since 2010. The in-depth outcomes evaluation will determine changes in levels of gang affiliation, levels of violence perpetration, attitude toward the police, and perception of police in their communities, among these graduates and in comparison with students who have not been exposed to G.R.E.A.T.

In order to better understand to what extent and how results were achieved, the implementer's research team will conduct an analysis of the most relevant factors contributing to results, challenges hindering impact, and any unintended outcomes (if applicable). INL seeks to understand the effectiveness of the G.R.E.A.T. program to share the full results and best practices with relevant host nation and implementing partner counterparts, as well as limited information publicly. This study will provide relevant information for police in the target countries to tailor their approaches to at-risk youth and countering gang violence.

INL in coordination with the El Salvador Civilian Police (PNC), the Honduras National Police (HNP), the Panama National Police (PNP), and the Public Force of Costa Rica (FPCR) will provide a database of the public schools in the targeted countries that have participated in the G.R.E.A.T. program. In addition, INL and the G.R.E.A.T. program implementer will provide a data base of the more than 2,300 certified officers in El Salvador including their specific geographic area/designated police delegation/sub-delegation, or post; and a database of the families of the kids that have participated in the G.R.E.A.T. program.

In order to ensure prompt data collection, the successful applicant will describe in detail the preliminary work necessary in advance of data collection, including a review of literature on this subject and third-party databases on countering gang violence/recruitment, securing cooperation from schools, coordination through the PNC in El Salvador, the PNP in Honduras, the PNP in Panama, and the FPCR in Costa Rica, laying the groundwork to obtain informed consent from research subjects, and fulfilling any applicable requirements. Given children and other vulnerable populations may be interviewed, successful applicants will have experience with precepts of human subject research, including informed consent and harm reduction.

### 1. Priority Region/Countries

- El Salvador (\$600,000 USD available funding)
- Honduras (\$800,000 USD available funding)
- Panama (\$475,000 USD available funding)
- Costa Rica (\$150,000 USD available funding)

### 2. Project Goal(s)

Evaluate and scientifically validate the methods, impact, and effectiveness of the Gang Resistance Education and Training (G.R.E.A.T.) program in El Salvador, Honduras, Panama, and Costa

Rica, which is a school-based, law enforcement officer-instructed classroom curriculum, whose primary objectives are foster positive attitudes toward law enforcement, avoid conflict (youth violence), resist peer pressure, and prevent gang membership. INL recommends the research team to conduct the evaluation in two phases: (1) an initial literature review, assessment, and analysis and 2) an in-depth scientifically validated and evidence-based study. The evaluation will be shared with the Police leadership and Prevention Departments, host governments, other donors, and implementers in the targeted countries, in a full report version and briefing with the goal of understanding the program's effectiveness, shaping the approach of the police institutions' approach to violence prevention, and countering gang violence. A summary report of the evaluation's results will be published for the public.

### 3. Project Objectives

**Objective 1: Within 90 days of award, identify the scope and methods of the initial assessment and in-depth study.**

**Activity 1:** Identify relevant data sources and perform a comprehensive literature review of secondary sources and program documentation. Provide a written summary report to INL.

**Activity 2:** Analyze the availability of former participants and the possibility of control groups. Provide a written report to INL.

**Objective 2: Within one year of award, design and conduct an initial assessment that measures the outcomes and effectiveness of the G.R.E.A.T. program in El Salvador, Honduras, Panama, and Costa Rica.**

Competitive proposals will lay out plans for conducting an initial assessment of whether youth at risk are less affiliated with gangs after completing the program. INL expects that the initial assessment will cover the rate of gang affiliation among youth who have completed the program; the likelihood of at-risk youth to perpetrate violence after being exposed to the program; the police's opinion towards the community; and the perception of the police in the communities that have been exposed to the program.

The research team will present the results of the initial assessment and analysis to Police leadership and Prevention Departments, host governments, other donors, and implementers in the targeted countries, including a summary document for the public. This should set the bases for the in-depth study (Objective 3). The initial assessment will leverage existing secondary data sources, starting with but not limited to:

- [www.G.R.E.A.T.-online.org](http://www.G.R.E.A.T.-online.org)
- Elementary Component Workbook
- Middle School Component Workbook
- Families Component printed material
- At risk youth who have completed the program since 2010
- Evaluation by University of Missouri <https://www.ncjrs.gov/pdffiles1/nij/grants/244346.pdf>
- Prevention Department and INL data and statistics

- Ministry of Education data and statistics
- El Salvador, Honduras, Panama, and Costa Rica GREAT Team Leaders

**Activity 1:** Develop a research/assessment plan method utilizing secondary data. Identify the needs (if any) for primary data collection in this phase, in consultation with INL to capture information from kids, course instructors, teachers, principals, and parents/guardians.

**Activity 2:** Perform data collection, conduct surveys (if applicable), research, review, and analyze information.

**Activity 3:** Prepare and draft an executive summary, full report, and presentation format (both in English and Spanish) for each country, detailing how the initial assessment and analysis plus any information obtained from surveys/interviews will be used. This will include a dissemination plan indicating how the results will be presented so that they are clear, easily understood, and of most use to INL and National Civilian Police forces. This report shall set the bases and steps for the in-depth study.

**Objective 3: Within three years of award, measure the methods, outcomes, and effectiveness of the G.R.E.A.T. program in El Salvador, Honduras, Panama, and Costa Rica through scientifically validated and evidence-based methods to include an in-depth study among at-risk youth who have completed the course curriculum since 2010; and course instructors, teachers, school principals, and parents.**

Competitive proposals will lay out plans for conducting scientifically validated and evidence-based surveys, interviews, and focus groups regarding whether youth at risk are less affiliated with gangs after completing the program. INL expects that the survey to cover the rate of gang affiliation among youth who have completed the program; the likelihood of at-risk youth to perpetrate violence after being exposed to the program; the police's opinion towards the community; and the perception of the police in the communities that have been exposed to the program. In addition, the surveys conducted should gather information regarding the perception of security in the communities contrasted/compared with the actual levels of criminal activity.

In order to better understand the impact from the police perspective, this evaluation should provide information obtained from the who execute the implementation in the field. Teachers, school principals, parents, and guardians should provide data regarding any changes they have observed in students exposed to the program. They should describe any changes in attitudes and behaviors they have witnessed in the school and family environment.

INL in coordination with the PNC, HNP, PNP, FPCR, and the Ministries of Education will provide a database of the public schools in El Salvador, Honduras, Panama, and Costa Rica that have participated in the G.R.E.A.T. program. For El Salvador, all 19 PNC delegations (14 departments) must be included in the study; for Panama, a special focus should be placed in the provinces of Panama City, Panama Oeste, Colón and Chiriquí; for Honduras all departments where the program has been implemented; and Costa Rica a special focus in the cities of Belen and Curridabat. In addition, INL, PNC, HNP, PNP, and FPCR will provide a data base of the more than 2,300 certified officers in El Salvador including their specific geographic area/designated PNC delegation/sub-delegation, or post; and a database of the families of the kids

that have participated in the G.R.E.A.T. program. The minimum value for each one of these will be established by mutual agreement between the research team and INL.

If possible, control groups should be selected to analyze the data of the targeted population that has participated in the G.R.E.A.T. program vs. those who have not participated.

The research team should respond to any gaps remaining from the initial assessment data review and will not need to address questions that were adequately answered with existing resources, to avoid any duplication of information.

**Activity 1:** The research team will prepare and present a preliminary data collection plan for INL review and feedback. Potential primary data methodologies include both quantitative and qualitative data collection including direct observation, surveys (in person or online), focus groups, key informant interviews, and assessments as well as third party data sets on crime and gang violence or recruitment if available.

**Activity 2:** Collect the data through identified method(s).

**Activity 3:** Complete the data review and analysis. A report and presentation must be prepared (in English and Spanish) to share with Police leadership and Prevention Departments, host governments, other donors, and implementers in each country, including charts and analysis for each question included in the data collection instrument(s).

**Objective 4: Produce an outcome evaluation of the G.R.E.A.T. program in El Salvador, Honduras, Panama, and Costa Rica, accessible to INL and relevant police institutions and actors, to build understanding of the methods, impact, and effectiveness of the program.**

The outcome evaluation will include both intermediate outcomes, such as attitudes and knowledge concerning gangs, delinquency, and police, and as behavioral outcomes including delinquency and gang membership. Stronger evaluation methods will be given priority, with a preference for rigorous methods that provide a sound basis for drawing causal inferences.

Competitive proposals will also address factors that evaluate the current implementation method. Key questions that should be addressed in the analysis are:

- To what extent did the intended outcome of reducing youth at risk gang affiliation and participation in criminal activity occur over the past years?
- Has the program in any way prevented or reduced youth at risk participation in violence perpetration?
- Is the content doing its job? Did the project meet its targets of providing tools to solve problems and confront peer pressure and/or bullying?
- Has the program affected behavior and attitudes of at-risk youth in school communities and family environment?
- To what extent has the program directly impacted the attitude and perception of the community towards the police?
- How can the program become more effective?
- Have there been unintended consequences—negative or positive—of the program?

**Activity 1:** Produce a final report for each country in an executive summary, full report, and power point presentation format (in English and Spanish) on the study’s findings and the team’s recommendations. The report shall be cleared with INL before the final product is published and/or disseminated.

**Activity 2:** Produce a summary report for each country (in English and Spanish) for publication and dissemination to the public. The summary report shall be cleared with INL before the final product is published and/or disseminated.

NOTE: The activities here included are limited examples. INL looks forward to competitive and creative proposals that identify and include further activities that will guarantee that the goals and objectives are met; and that they are in accordance with the evaluation/study methods identified and/or proposed.

#### **4. Participants and Audiences**

The target audiences are the graduates of the G.R.E.A.T. program, course instructors, teachers, school principals, and parents.

#### **5. Project Expansion**

If the project is successful, INL will consider the option of expanding 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: 36 months

Anticipated program start date: December 2021

Number of awards anticipated: Four (4) awards (one award per country)

Award amounts: \$600,000 USD (El Salvador)  
\$475,000 USD (Panama)  
\$800,000 USD (Honduras)  
\$150,000 USD (Costa Rica)

Total available funding: \$2,025,000

Type of Funding: FY17/19 Central American Regional Security Initiative (CARSI) – Community Policing Funds

## C. ELIGIBILITY INFORMATION

### 1. Eligible Applicant Types

The following organizations are eligible to apply:

- U.S.-based educational institutions subject to section 501(c)(3) of the U.S. tax code;

### 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.

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

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

## D. APPLICATION AND SUBMISSION INFORMATION

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

### 1. How to Apply and Submit Questions

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

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

### 2. Required Application Documents

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

## Standard Application Forms

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

## Project Proposal

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

- Proposal Narrative – *Maximum 15 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:** include a synopsis of the project, including a breakdown of the goals, objectives, and activities. Include a brief statement on why the project is likely to achieve the goal and how it will be sustainable.
  - **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).
  - **Activity Map:** outline the goal, objectives, sub-objectives (if applicable), activities, and indicators. Refer to the table in Appendix A for additional guidance.
  - **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). 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.
- Monitoring and Evaluation Plan**

This document outlines how activities will be monitored to ensure they are executed in a timely manner, and how the project will be evaluated to ensure the goals are met. A template is included under the Related Documents section of this NOFO announcement on [www.grants.gov](http://www.grants.gov). Refer to Appendix B for additional guidance on drafting a Monitoring and Evaluation Plan.

**Project Risk Analysis**

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

Organization, Staff, and Partners

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

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

- Introduce the applicant organization, including biographical information such as mission statement, organization size, relevant office location(s), etc.
- Provide a summary description of past and present operations, demonstrating the applicant’s ability to carry out the project
- Describe any experience the organization has in the target country or region
- Confirm whether the organization is a registered business entity within the target country or region

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

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

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

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

**Letters of Support – *Optional***

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

Project Budget and Cost Documents

**Summary and Detailed Budgets**

A proposal budget must be submitted in spreadsheet format (e.g., Microsoft Excel). A template is 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 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

**□ NICRA – Optional**

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

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
- 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.

**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 Times New Roman font and 1-inch margins

**4. Required Entity and Account Registrations for Applicants**

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

Organizations that are first-time applicants may need to register and/or create accounts in these systems. INL encourages prospective applicants to initiate these registrations as soon as possible. Applicants that have previously applied to other opportunities may already have registrations and/or accounts in the necessary systems, though applicants should ensure their registrations are active.

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

Unique Entity Identifier (DUNS Number)

Organizations must have a DUNS number from Dun & Bradstreet.

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

NCAGE Code

Organizations physically located outside the United States and its territories must also register for an NCAGE code. This request can be completed simultaneously with a DUNS Number request.

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

Help with NCAGE Code registration issues:

- Call 1-888-227-2423 (callers within the U.S.)

- Call 1-269-961-7766 (callers outside the U.S.)
- Email [NCAGE@dliis.dla.mil](mailto:NCAGE@dliis.dla.mil)

#### System for Award Management (SAM.gov)

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

- Initiate the registration or renewal process at <https://www.SAM.gov>. Select “Entity Registration” to begin the registration or renewal request.
- First-time applicants should initiate the SAM.gov registration after receiving their DUNS Number and, if applicable, NCAGE Code.

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.

#### 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 DUNS Number, NCAGE 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: 55

- Analysis enables proposal reviewers to determine:
  - if objectives are necessary and sufficient to reach the goal;
  - if activities are engaging the right people to achieve the project’s goal and objectives; and
  - if activity dosage is sufficient (i.e., will the activities engage enough people for enough time for it to be reasonable to expect to achieve the objectives?) (15)
- The goal aligns to INL policy and is clear and feasible (10)
- Objectives are clear, necessary, and address systemic barriers to reaching the goal, including one concept, and specifying a target population (10)
- Activities are likely to measure the outcome and effectiveness based on evidence. (10)
- Activities engage enough people for enough time to be likely to achieve the desired results/impact and engage people of all the targeted audience. (10)

#### Program Monitoring and Risk – Total Possible Points: 15

- Proposes indicators that are useful for decision making, accurate in measuring the intended result, reliable, and timely (5)
- Monitoring plan demonstrates a focus on collecting useful monitoring data and understanding of how to link that to real project management decision making (5)
- Risk assessment is thorough and realistic, addresses challenges in the operating environment, and proposes adequate strategies to mitigate risks to the project (5)

#### Institution’s Record and Capacity Rating – Total Possible Points: 15

- The applicant demonstrates an institutional record of successful programs in the proposed country/region and program area (5)
- Professional experience of staff and institutional resources are adequate and appropriate to achieve the project's objectives (5)
- The roles and responsibilities are clearly delineated among staff and partners (3)
- 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)

#### 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 (FAPIS)**

For all awards with a federal total exceeding \$150,000, INL is required to review and consider any information about the applicant in FAPIS.

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

# **F. AWARD ADMINISTRATION INFORMATION**

## **1. Federal Award Notices**

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

This document provides additional guidance on drafting proposal documents. Applicants should also refer to Section A of this NOFO for detailed guidance on INL’s design standards for this project. INL will use these standards when assessing the degree to which proposals are likely to achieve significant results.

### A. ANALYSIS OF THE PROJECT CONTEXT

Building off the information provided in the NOFO and demonstrating applicants’ expertise in both analysis and country context, this section should provide information to contextualize the activities the applicant proposes as the best way to reach the goal. This should include:

- Additional causes of, or additional details on, the problem that the project goal seeks to address. This is particularly important if the proposal recommends adding or altering any objectives. Objectives must be necessary and sufficient to reach the goal. This analysis should enable proposal reviewers to determine if that is the case.
- Detailed power analysis: who can affect or block the desired changes outlined in the objectives and goals? Be as specific as possible. This analysis should enable proposal reviewers to determine if activities are engaging the right people to achieve the objectives and goal.
- Overview of who needs to change how much. The objectives in the NOFO identified the target populations for those respective changes. In this particular context, how much of the target population will the project’s activities need to reach to achieve the objectives? How close or far from the objective is the target population? This analysis should enable proposal reviews to determine if activity dosage is sufficient. In other words, will the activities engage enough people for enough time for it to be reasonable to expect to achieve the objectives?

### B. PROJECT DESCRIPTION

This section captures what the project seeks to change (goal and objectives), how (activities), when (timeline), and the underpinning logic of the overall approach. Please review the INL design standards guidance and ensure the project description aligns to those concepts. If, based on your analysis, you recommend a revised goal or objectives, use those in the below.

This section should include the following:

- A one-paragraph narrative overview of the project goal and key elements for reaching that goal
- A brief outline of the proposal’s theory of change and how the goal, objectives, and activities will create change and produce results

#### Timeline

The narrative should include a chart or other linear schedule to outline a realistic timeline of all key activities related to project implementation.

- Provide a time-based breakdown of key project phases, including start-up, implementation of activities, monitoring and evaluation efforts, and closeout
- Include the dates, times, and locations of planned activities and events, where possible

## Activity Map

Refer to the table below for guidance and as an example of the preferred formatting to present the proposed goals, objectives, measures, and indicators. The guidance inserted in the template should be deleted as it is filled out with project content.

<p>Vision: X (Optional)</p>	<p>Vision Indicator: X (Optional)</p> <p>Vision Measure: X (Optional)</p>
<p>Goal: Goal Title</p> <p>Either use the goal provided in the NOFO or suggest an alternate one here. A goal is the most significant change you expect the project to create. If you are proposing an updated goal, it must:</p> <ul style="list-style-type: none"> <li>Align to INL policy</li> <li>Be relevant (i.e., worth prioritizing in a given context)</li> <li>Be a change, not activities</li> <li>Be clear enough to establish a common understanding of what success looks like, including by defining potentially ambiguous terms</li> <li>Be achievable given the time, resources, and context</li> </ul>	<p>Goal Indicator: Indicator Title</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>indicate the state that would demonstrate success of the goal, objective, sub-objective, or activity</li> <li>denote either measures or milestones</li> <li>begins with an adjective (e.g., improved, increased)</li> </ul> <p>Example: “Increase in new anti-corruption laws adopted by the host government.”</p> <p>Goal Measure: X</p> <p>Measures are:</p> <ul style="list-style-type: none"> <li>the tangible way to quantify progress and demonstrate how we will record and evaluate that progress</li> <li>possibly similar to indicators, but not always</li> <li>always a numerical value or quantity and must begin with a unit of measure (e.g., quantity, weight, time, knowledge/capacity)</li> </ul> <p>Example: “Number of new anti-corruption laws adopted.”</p>
<p>Objective 1: Objective Title</p> <p>Either use the first objective from the NOFO or propose an alternate. Objectives are the changes that need to occur to achieve the goal. If you are proposing an updated objective, each objective must:</p> <ul style="list-style-type: none"> <li>be a clear change, not an activity;</li> <li>include a clear target population for each objective (i.e., the specific actors or group that will change)</li> <li>contain just one concept per objective.</li> </ul> <p>Taken together, all the objectives must:</p> <ul style="list-style-type: none"> <li>be necessary and sufficient to add up to the change specified in the goal</li> <li>address systemic change needed to reach the goal</li> </ul> <p>Failure to build sustainability into a project’s design is a common way in which projects fail to meet their goals. To prevent that, consider objectives necessary for sustainability.</p>	<p>Indicator 1: Indicator Title</p> <p>Measure 1: X</p>
<p>Sub-Objective 1.1</p> <p>Due to the complex systems and contexts, some objectives may require another layer of smaller changes to add up to the change</p>	<p>Indicator 1.1: Indicator Title</p> <p>Measure 1.1: X</p>

described in the objective. Sub-objectives are <u>not required</u> but should follow the same guidelines as objectives if used.		
Activity 1.1.1	<p>Activities are the actions the grantee undertakes to catalyze the changes described in the corresponding objective or sub-objective. There can be more than one activity per sub-objective. Activities must:</p> <ul style="list-style-type: none"> <li>• be likely to bring about the change described in the corresponding (sub)objective, ideally based in evidence</li> <li>• engage enough people for enough time to be likely to achieve the desired change</li> <li>• engage people with the power to support or block achieving the desired change</li> <li>• include approaches to mitigate the risk of the project failing to meet its goal and/or causing inadvertent harm</li> </ul>	<p>Indicator 1.1.1: Indicator Title</p> <p>Measure 1.1.1: X</p>

Below are example of output/outcome indicators for this project (these should be presented by country) which can be included when submitting the activity map above.

Example Output Indicators	Target
Percent of at-risk youth who have obtained strategies through the GREAT Program on how to avoid conflict and solve problems.	TBD
Percent of at-risk youth who have the tools to resist peer pressure and/or bullying after completing the GREAT Program.	TBD
Percent of at-risk youth, parents, teachers, and principals exposed to the GREAT Program that have reported or would report if they were victims of crime.	TBD
Percent of at-risk youth that report being involved in other school-based police sponsored prevention programs.	TBD
Percentage of children who intend to continue their high school and undergraduate education after being exposed to the GREAT Program.	TBD
Percentage of teachers and principals who report improvement in student behavior and school environment after being exposed to the GREAT Program.	TBD
Percentage of parents and guardians who report improvement in their children’s behavior at home after being exposed to the GREAT Program.	TBD
Percentage of GREAT instructors who report improvement in youth at risk behavior after being exposed to the GREAT Program.	TBD

Example Outcome Indicators	Target
Percent of at-risk youth who are not affiliated with a gang after concluding the GREAT Program.	TBD
Percent of at-risk youth who do not engage in criminal activities and/or violence perpetration after concluding the GREAT Program.	TBD

Percentage of at-risk youth that since completion of the program have completed high-school and have continued to higher education and/or are employed (part-time, formal or informal).	TBD
Percentage of at-risk youth who report that their perception and confidence in the police has increased after being exposed to the GREAT Program.	TBD
Percent of community members (parents, guardians, teachers, and principals) that report increased confidence in the police after being exposed to the GREAT Program.	TBD
Percent of PNC, HNP, PNP, and FPCR GREAT certified officers that report they have evidenced a positive change in the attitude of the community towards the police after they were exposed to the program.	TBD
GREAT program plays a role in reducing gang activity in El Salvador, Honduras, Panama, and Costa Rica.	TBD
GREAT program has an impact in reducing violent crime in El Salvador, Honduras, Panama, and Costa Rica.	TBD
GREAT program is effective in improving the relationship between the police and the youth and community they serve.	TBD

## APPENDIX B: PROJECT MONITORING PLAN AND PROJECT RISK ANALYSIS

### A. Monitoring Plan

Monitoring is the ongoing collection and analysis of information to inform project management 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. Monitoring plans should provide clear and concise information that can be reviewed easily and updated for the ultimate purpose of use. Monitoring plans should include:

#### Indicator Tracking Table

This is where all the indicators are documented with information about their baselines and targets, as well as space for recording results. Tables should make it clear which indicators are connected to the project goal(s) and objectives; what the indicators are; the baseline for each indicator; the data source; data disaggregation; frequency of data collection; cumulative target; cumulative actual results (to date); Q1-4 target; and Q1-4 actual results. Indicators should be useful for decision making, valid (i.e., accurately measure the intended result), reliable, and timely.

#### Unit of Measure

Unit of measure (e.g., number of hours, percent of households) must be indicated. Minimum or maximum values should be included, if applicable. Indicate if the number is cumulative or specific to the reporting frequency.

- **Data Type**

Data types include but are not limited to the following:

- *Integer*: A whole number having no decimal places (e.g., number of people trained).
- *Decimal*: Define if the number is expected to have a decimal and how many decimal places must be tracked (e.g., average time to export goods along trade corridor).
- *Percentage*: Both numerator and denominator must be defined.
- *Proportion/Ratio*: Both numerator and denominator must be defined.
- *Currency*: Must include a conversion to USD rate, rate source, and date (e.g., price of wheat).

- **Disaggregated by:**

List any planned ways of disaggregating the data and note why this disaggregation is necessary and useful.

- *Sex*: Performance indicators must be disaggregated by sex when measuring person-level data.
- *Geography*: It is recommended that indicator data be disaggregated by a geographic level that is feasible and useful for management purposes.

- **Rationale for the Indicator**

Optional. Briefly describe why this particular indicator was selected to measure the intended result and how it will be useful for managing performance. It is recommended that both a user and user for the indicator data are identified here.

- **Data Source:**  
Specific sources of data must be identified. If data are from third-party sources such as a government ministry or international organization, include the location/link to the source. If data are collected by implementing partners, specify where the partner is getting the data. It is critical that sources be specific and detailed to ensure that data collection is consistent and verification is possible.
- **Method of Data Collection and Construction:**  
Tools, methods, and procedures for collecting raw data must be described. Examples include document review, structured interviews, focus group interviews, written survey, ledger of patients, etc. If the indicator is an index or composite indicator, describe the procedure or formula for construction or calculation. Include information about who collects the raw data and where it is stored before it gets to INL.
- **Reporting Frequency:**  
Specify how often, when, and to whom data will be reported to INL. Most common reporting frequencies are quarterly, semiannual, and annual. The reporting frequency must be the same for every instance of the indicator (i.e., individual indicators being reported by multiple sources must not have different reporting frequencies). It is recommended that reporting frequency remain constant throughout the life of the indicator.
- **Baseline Timeframe:**  
The timeframe (month/year) that will serve as the baseline value for the indicator must be stated. If baselines have not been set, identify when and how this will be done. If it is expected that this indicator will have a rolling baseline, the dates when the baselines are expected to take place should be noted.
- **Rationale for Targets:**  
Optional. Explain the general basis on which targets are set for the indicator (e.g., identify specific trends to make reasonable projections based on anticipated level of effort and resources).
- **Known Data Limitations:**  
Any major data limitations must be indicated. Plans on how to address these limitations should be stated. Data limitations can be derived from the DQA summary and include the following indicator quality issues: Validity, Reliability, Timeliness, Precision, and Integrity. Any additional limitations should also be listed.
- **Data Review Proposal:**  
Outline how you propose INL and the organization jointly review monitoring data and use it to inform decision making. Note the questions and data reviews should answer and provide a brief description of the process for how such reviews would occur.

## **B. Project Risk Analysis**

Risks are unavoidable – all programs inherently contain both internal and external risks. However, with proper identification and management, risks can be prepared for, minimized or mitigated. The purpose of a risk analysis is to identify the internal and external risks associated with the proposed

project in the application, rate the likelihood of the risks, rate the potential impact of the risks on the project, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document.

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

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

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

## APPENDIX C: BUDGET AND BUDGET NARRATIVE

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

### A. Budget Proposal

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

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

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

### B. Budget Narrative

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

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

#### Category A. Personnel

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

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

### Category B. Fringe Benefits

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

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

### Category C. Travel

This category outlines travel planned for staff and participants.

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

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

  - Rates of maximum allowances for U.S. and foreign travel are located here: <http://www.policyworks.gov/>.
  - Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.
  - Per diem rates must be prorated and/or removed if the project is paying for refreshments and/or meals for participants (e.g., while attending a workshop or conference).

### Category D. Equipment

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

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

### Category E. Supplies

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

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

## Category F. Contractual

- **Sub-grants**

A common distinction between sub-grantees and contractors is the amount of work being

- 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.

- **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 \$698/day per person, effective January 1, 2021. The 2021 rates will apply to all NOFOs issued on/after January 1, 2021, until amended.

## 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 200.405. 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:

- Profit for the grantee and/or sub-grantees
- Expenses incurred before or after the award period of performance, unless prior written approval is given by INL Grants Officer
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction
- Alcoholic beverages
- Costs of entertainment, including amusement, diversion, and social activities, except where these costs have a demonstrable programmatic purpose and are authorized by INL
- Buying or leasing land
- Construction
- Direct support or the appearance of direct support for individual or single-party electoral campaigns
- Duplication of services immediately available through municipal, provincial, or national government

### 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.