

U.S. Department of State
Bureau of International Security and Nonproliferation, Office of Cooperative Threat
Reduction (ISN/CTR)
Notice of Funding Opportunity

Funding Opportunity Title:	FY22 Cooperative Threat Reduction Metrics
Funding Opportunity Number:	SFOP0008488
Deadline for Applications:	January 31, 2022
CFDA	19.033
Total Amount Available:	\$250,000

A. PROGRAM DESCRIPTION

The Office of Cooperative Threat Reduction (CTR), part of the Department's Bureau of International Security and Nonproliferation (ISN), sponsors foreign assistance activities through the Global Threat Reduction (GTR) program, that seek to prevent proliferator states and non-state actors from developing or acquiring Weapons of Mass Destruction (WMD), related delivery systems, and advanced conventional weapons that could threaten the U.S. homeland and U.S. interests abroad. GTR includes the following programs below.

CTR's Biosecurity Engagement Program's (BEP) national security mission is to mitigate global biological threats by minimizing the access of proliferator states and non-state actors to biological expertise, materials (e.g., high consequence pathogens (HCP), pathogens and toxins included on control lists such as the U.S. Select Agent List, etc.), and dual-use equipment that could be misused to conduct biological weapons (BW) attacks against the United States, U.S. allies, or U.S. interests abroad.

CTR's Chemical Security Program (CSP) works with law enforcement, government, academic, industrial, and technical scientific communities in the Middle East, South and Southeast Asia, Eastern Europe, and Africa to strengthen their ability to prevent, detect, mitigate, and respond to chemical attacks, the malign proliferation of weaponizable chemicals, and advances in vertical chemical weapons (CW) proliferation by states in violation of the Chemical Weapons Convention (CWC), as well as chemical attacks by non-state actors.

CTR supports the pressure campaign against the Democratic People's Republic of Korea (DPRK) by training partners to implement United Nations Security Council Resolutions (UNSCRs) constraining the DPRK's weapons of mass destruction (WMD) proliferation, to detect and halt DPRK-linked sanctions evasion activities, and to impede the DPRK's material and financial activities that fund the development of WMD and related delivery systems. ISN/CTR achieves this mission through capacity-building programs, open-source research, and other specialized efforts, all of which help at-risk countries detect and shut down financial and material flows to the DPRK.

The Islamic Republic of Iran continues to develop ballistic missile capabilities that threaten U.S. national security interests and are in violation of certain United Nations Security Council Resolutions (UNSCRs), including UNSCR 2231. CTR's Iran line of effort specifically aims at countering the development of, and the advancements in, Iran's ballistic missile program and at improving international adherence to the relevant UNSCRs and other multilateral and bilateral sanctions.

CTR's Iraq Program administers threat reduction activities in partnership with Iraqi government, security, academic, public and veterinary health, and industrial communities to strengthen their ability to prevent WMD attacks. This program secures chemical and biological materials, dual-use equipment, technologies, expertise, and infrastructure to prevent their misuse by terrorists and other nefarious actors in Iraq.

CTR's Partnership for Nuclear Threat Reduction (PNTR) team functions as the State Department's programmatic lead for the Foundational Infrastructure for Responsible Use of Small Modular Reactor Technology (FIRST) program, a Presidential initiative announced by the White House in April 2021. FIRST provides technical capacity-building support to potential nuclear energy newcomer countries that are considering small modular reactors (SMRs) and other advanced reactor designs to meet their clean energy needs, consistent with the highest international standards of nuclear security, nonproliferation, and safety. In addition, PNTR works to prevent states or terrorists from diverting or acquiring nuclear material, technology, or expertise that could be used to attack the United States and our allies.

CTR's Special Projects' (SP) Advanced Conventional Weapons (ACW) team builds foreign partner capacity to identify and avoid potentially problematic Russian Government and People's Republic of China (PRC) ACW-related transactions. CTR programming leverages open-source, commercially available data to identify methods the Russian Federation and the PRC use to export ACW and obscure the involvement of prohibited defense entities that are inconsistent with U.S. and international frameworks and regimes. CTR uses factual case studies of historic ACW sales to demonstrate the long-term "true costs" and dependencies of doing business with prohibited Russian Government and PRC defense sector entities.

The Special Projects' (SP) Russia Team works to protect the exploitation of dual-use material, equipment, technology, knowledge, and expertise at government, commercial, and scientific institutions to prevent the proliferation of WMDs. Proliferators often attempt to procure sensitive equipment and technologies from unsuspecting or indiscriminate commercial or scientific institutions, subvert or otherwise undermine international nonproliferation regimes, manipulate or leverage sensitive dual-use scientific expertise, and/or seek to acquire dangerous pathogens and weaponizable materials. In addition, the team raises foreign partner capacity to identify and respond to the Russian Government's active measures attacks that seek to undermine longstanding nonproliferation norms. The Russian Federation has a particularly notorious history of using WMD agents to target adversaries for assassination. Additionally, Russia and

Russian linked groups have conducted well-publicized malign cyber activities around the world, including attempts against international nonproliferation entities.

The PRC is seeking to acquire advanced technologies to gain asymmetric advantage over U.S. and other Western national military capabilities. The PRC's Chinese Communist Party (CCP) has codified a program of Military Civil Fusion (MCF) by which civilian entities must transfer knowledge (tangible and intangible), advanced technology, materials, and equipment to PRC military institutions. CTR's MCF team works with its foreign partners to: enhance due-diligence efforts related to the financing, procuring, or distributing sensitive dual-use technologies; mitigate insider and outsider threats at foreign technological institutions targeted by the PRC's MCF strategy; impede the PRC's talent acquisition programs; strengthen research and development integrity norms to prevent foreign knowledge transfers and intellectual property theft; enhance information security at proliferation-sensitive technology (PST) firms, and train private industry to avoid predatory joint ventures with People's Liberation Army (PLA) affiliates. CTR also engages higher education institutions to prevent the transfer of sensitive technology to the PRC.

Where emerging technologies converge with WMD and WMD-related delivery systems, CTR prevents proliferator states and non-state actors from exploiting foreign entities (e.g., private industry, governments, startups) who are developing, using, providing access to or transferring emerging technologies of security concern to understand its dual-use applications and install user-level controls to prevent its misuse, and conduct due diligence in commercial ventures to prevent diversion of emerging technologies to nefarious actors. CTR also builds foreign partner capacity to safeguard WMD-related data and materials using applicable emerging technologies (e.g., blockchain).

Objectives

Since 2012, CTR has funded the development of an evaluation tool to annually measure the effectiveness of its CTR programming. The CTR metrics tool is designed to assess partner country progress towards a self-sustaining, proliferation-resistant security culture that reduces the threat posed by terrorist organizations or proliferator states seeking the means by which to obtain WMD and delivery systems for the purposes of threatening the United States and related interests.

For the current NOFO, CTR is seeking a new analysis of program work from June 2021 – June 2022 using this evaluation tool for programming that occurred in CTR partner countries for the above-mentioned programmatic mission areas. This analysis will provide CTR with solid empirical basis to assess CTR effectiveness, devise new initiatives where needed, and choose among different activities to meet future programmatic needs. To ensure an unbiased assessment of its programming, CTR shall only accept proposals submitted by individuals or organizations which are not currently involved in implementing nonproliferation engagement activities on behalf of CTR.

Proposals should include the development of standard engagement evaluations for program implementation such as pre- and post-training survey/tests. These will encompass both qualitative examples that can be reported to interested stakeholders and quantitative format that can measure across programs and regions. This information will be used to demonstrate the effectiveness of CTR support and justify future programs.

B. FEDERAL AWARD INFORMATION

Length of performance period: Twelve (12) months

Number of awards anticipated: 1

Award amounts: awards may range from a minimum of \$0 to a maximum of \$250,000

Total available funding: \$250,000

Type of Funding: FY22/23 Nonproliferation, Anti-Terrorism, Demining and Related Activities Funds under the Foreign Assistance Act

Anticipated project start date: June 1, 2022

Funding Instrument Type: Cooperative agreement. Cooperative agreements are different from grants in that bureau staff are more actively involved in the grant implementation. The CTR office will play an active role in developing and shaping the materials developed and implanted during this award. CTR will also help identify participants.

Project Performance Period: Proposed projects should be completed in Twelve (12) months or less.

This notice is subject to availability of funding.

C. ELIGIBILITY INFORMATION

1. Eligible Applicants

The following organizations are eligible to apply (both domestic and international):

- Not-for-profit organizations
- Public and private educational institutions
- For-profit organizations
- Federally funded research and development centers
- Public International Organizations

2. Cost Sharing or Matching

This program does not require cost sharing; however, proposals that demonstrate cost sharing will be welcomed.

The recipient is required to maintain written records to support all allowable costs that are claimed as its contribution to cost-share, as well as costs to be paid by the Federal government. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost-sharing as stipulated in the recipient's budget, the Bureau's contribution may be reduced in proportion to the recipient's contribution.

3. Other Eligibility Requirements

In order to be eligible to receive an award, all organizations must have a unique entity identifier (Data Universal Numbering System/DUNS number from Dun & Bradstreet), as well as a valid registration on www.SAM.gov. Please see Section D.3 for information on how to obtain these registrations. Individuals are not required to have a unique entity identifier or be registered in SAM.gov.

Applicants are only allowed to submit one proposal per organization. If more than one proposal is submitted from an organization, all proposals from that institution will be considered ineligible for funding.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application forms required below are available at grants.gov

Please follow all instructions below carefully. Proposals that do not meet the requirements of this announcement or fail to comply with the stated requirements will be ineligible.

Content of Application

Please ensure:

- 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 paper, and
- All Microsoft Word documents are single-spaced, 12 point Times New Roman font, with a minimum of 1-inch margins.

The following documents are **required**:

Section 1 - Application for Federal Assistance (SF-424):

This form is part of the NOFO proposal package.

Section 2 – Project Proposal(s):

Using the provided template, the applicant must provide a completed project proposal. The proposal form must be completed in its entirety and clearly specify the proposed scope, deliverables, and timeline. Applicants must specify a point of contact for each project that is proposed.

Section 3 - Budget:

Also using the provided project proposal template, applicants must provide a budget for each project. The budget must identify the total amount of funding requested, with a breakdown of amounts to be spent in the following budget categories:

Application Submission Process: Applicants should submit project proposals electronically using Grants.gov. Thorough instructions on the Grants.gov application process are available at <http://www.grants.gov>. For questions relating to Grants.gov, please call the Grants.gov Contact Center at 1-800-518-4726.

Required Registrations:

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

All organizations applying for grants (except individuals) must obtain these registrations. All are free of charge:

- Unique entity identifier from Dun & Bradstreet (DUNS number)
- NCAGE/CAGE code
- www.SAM.gov registration

Step 1: Apply for a DUNS number and an NCAGE number (these can be completed simultaneously)

DUNS application: Organizations must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet. If your organization does not have one already, you may obtain one by calling 1-866-705-5711 or visiting <http://fedgov.dnb.com/webform>

NCAGE application: Application page here:
<https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>

Instructions for the NCAGE application process:
<https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf>

For NCAGE help from within the U.S., call 1-888-227-2423

For NCAGE help from outside the U.S., call 1-269-961-7766

Email NCAGE@dlis.dla.mil for any problems in getting an NCAGE code.

Step 2: After receiving the NCAGE Code, proceed to register in SAM.gov by logging onto: <https://www.sam.gov>. SAM registration must be renewed annually. Please note that your CCR registration must be annually renewed.

Submission Dates and Times

Applications must be submitted on or before January 31, 2022, 11:59 p.m. Eastern time. Applications submitted after 11:59 p.m. will be ineligible for consideration. Begin the application process early, as this will allow time to address any technical difficulties that may arise in advance of the deadline. There will be no exceptions to this application deadline.

E. APPLICATION REVIEW INFORMATION

Applicants should note that the following criteria serve as a standard against which all project proposals will be evaluated and identify significant considerations that should be addressed in all proposals. CTR will award a cooperative agreement to the applicant(s) whose offer represents the best overall value to the government from both a technical and cost perspective.

ISN/CTR will evaluate proposals against the stated criteria. Criteria are listed in descending order of importance.

- **Proposed Activity or Activities:** Applicants should clearly describe what they propose to do and how they will do it. The proposed project(s) must directly relate to meeting the specified objectives and applicants should include specific information on how they will systematically meet CTR's global threat reduction mission. CTR will evaluate the project proposal in terms of how well it addresses the issues at hand, relevance and feasibility of the proposed activities, the timeline for completion, and the extent to which the impact of the project will continue beyond the conclusion of the period of performance.
- **Organizational Capability:** Applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve the stated goals and objectives in an international technical context. The proposal(s) must identify all key partners and organizations that will be involved in implementation of this project.

- **Budget:** Proposed costs will be evaluated for feasibility, fiscal control practices, and efficiency. CTR must be able to determine that proposed costs are reasonable, allowable, and allocable to the proposed project activities. CTR will evaluate the budget to determine if the overall costs are realistic for the work to be performed, if the costs reflect the applicant's understanding of the allowable cost principles established by 2CFR200, and if the costs are consistent with the program narrative.
- **Impactful and Measurable Engagements:** Although complex nonproliferation objectives demand persistent engagement with partner countries, discrete projects should individually advance progress toward a particular objective. Proposals should describe the end-state the project aims to achieve, along with specific, measurable, and realistic benchmarks by which to gauge progress toward that end-state. Compelling project proposals will establish milestones to be met during the training period, and describe observable progress in the adoption, implementation, or enhancement of nonproliferation or sanctions enforcement and compliance best practices.
- **Diversity and Inclusion:** CTR values collaboration and promotes diversity, equity and inclusion with all stakeholders by creating an environment that is open to equal opportunities without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, protected veteran or disabled status.
- **Cyber Security:** Implementer shall be required to establish and follow policy and procedures for an effective implementation of security controls using NIST 800-53 (Rev. 4)), System and Information Integrity Policy (SI-1) as follows:
 1. Identification and Authentication: Implement multifactor authentication for network access and local access.
 2. Access Controls: Implement security controls for information sharing, remote access and wireless access including:
 - a. Monitoring, controlling, and protecting remote and wireless access to information by auditing information systems components (e.g. workstations, notebook computers, smartphones, and tablets).
 3. Incident Handling: Monitor and report any and all security incidents including breaches to ISN/CTR directly within 48 hours of the incident and include a risk assessment of the security access controls.
- **Federal Awardee Performance & Integrity Information System (FAPIIS):** For any Federal award under a notice of funding opportunity, if the Federal awarding agency anticipates that the total Federal share will be greater than the

simplified acquisition threshold on any Federal award under a notice of funding opportunity over the period of performance (see §200.88 Simplified Acquisition Threshold), this section must also inform applicants:

- i. That the Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
- ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM 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;
- iii. That the Federal awarding agency 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 completing the review of risk posed by applicants as described in §200.206 Federal awarding agency review of risk posed by applicants.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

The cooperative agreement will be written, signed, awarded, and administered by the Grants Officer. The assistance award agreement is the authorizing document and it will be provided to the recipient for review and signature by email. The recipient may only start incurring project expenses beginning on the start date shown on the grant award document signed by the Grants Officer.

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 does not constitute an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

Anticipated Time to Award: Applicants should expect to be notified of the *recommended* concepts within 90 days after the submission deadline. Following this initial notification, **selected applicants will be expected to submit a full application within 30 days**. CTR staff will provide information at the point of notification about the

requirements for the full application, which may include revisions to the activities. The full applications will not be subject to further competition, but must incorporate any suggested changes made by CTR.

Issuance of this NOFO does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of proposals. Further, the Government reserves the right to reject any or all proposals received.

Project Implementation Meeting: The recipient should expect to have a pre-project implementation meeting with CTR within thirty days after the cooperative agreement is awarded and before any work is performed for the award.

2. Administrative and National Policy Requirements

Before submitting an application, applicants should review all the terms and conditions and required certifications which will apply to this award, to ensure that they will be able to comply.

These include:

- [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 600 – DEPARTMENT OF STATE REQUIREMENTS](#)
- [U.S. DEPARTMENT OF STATE STANDARD TERMS AND CONDITIONS](#)

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, the Department of State will review and consider applications for funding, as applicable to specific programs, pursuant to this notice of funding opportunity in accordance with the following. NOTE:

- [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 (Pub. L. No. 115—232) (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) (§§ 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), and
 - 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

Reporting Requirements: As a cooperative agreement, reporting and deliverable requirements for this project exceed those of typical grants. Applicants should pay special attention to these enhanced reporting and deliverable requirements. Specifically: Using a template provided by ISN/CTR, the Recipient shall submit quarterly progress reports to the designated Grants Officer Representative (GOR), program distribution list, and to the following email address ISN-CTR-BUDGET@state.gov detailing:

- Assistance activities conducted during the reporting period;
- Milestones and successes achieved to date;
- Key assistance activities remaining to be implemented with a projected timetable;
- Details of any problems encountered with proposed solutions; and
- Any other pertinent information requested by CTR.
- The Recipient shall provide the GOR with copies of all materials developed under this cooperative agreement.
- In addition to regular quarterly reports, the Recipient shall furnish the GOR with ad hoc reports as requested from time to time.
- In addition to the above, the Recipient shall submit quarterly financial reports throughout the project period. Financial reports are due 30 days after the reporting period. Final programmatic and financial reports are due 90 days after the close of the project period.

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. Successful applicants 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, typically program or sector and/or regions or countries, the successful applicant will be required to maintain separate accounting records.

G. FEDERAL AWARDING AGENCY CONTACTS

For questions about this solicitation, contact:

Tom Pattison, Budget Officer
Office of Cooperative Threat Reduction
U.S. Department of State
Email: pattisonte@state.gov
Phone: (202) 255-3758

Direct any NOFO submission (non-programmatic) questions to:
Office of Cooperative Threat Reduction M&SP Team
U.S. Department of State
Email: ISN-CTR-BUDGET@state.gov

H. OTHER INFORMATION

Guidelines for Budget Justification

Personnel and Fringe Benefits: Describe the wages, salaries, and benefits of temporary or permanent staff who will be working directly for the applicant on the program, and the percentage of their time that will be spent on the program.

Travel: Estimate the costs of travel and per diem for this program, for program staff, consultants or speakers, and participants/beneficiaries. If the program involves international travel, include a brief statement of justification for that travel.

Equipment: Describe any machinery, furniture, or other personal property that is required for the program, which has a useful life of more than one year (or a life longer than the duration of the program), and costs at least \$5,000 per unit.

Supplies: List and describe all the items and materials, including any computer devices, that are needed for the program. If an item costs more than \$5,000 per unit, then put it in the budget under Equipment.

Contractual: Describe goods and services that the applicant plans to acquire through a contract with a vendor. Also describe any sub-awards to non-profit partners that will help carry out the program activities.

Other Direct Costs: Describe other costs directly associated with the program, which do not fit in the other categories. For example, shipping costs for materials and equipment or applicable taxes. All “Other” or “Miscellaneous” expenses must be itemized and explained.

Indirect Costs: These are costs that cannot be linked directly to the program activities, such as overhead costs needed to help keep the organization operating. If your organization has a Negotiated Indirect Cost Rate (NICRA) and includes NICRA charges in the budget, attach a copy of your latest NICRA. Organizations that have never had a NICRA may request indirect costs of 10% of the modified total direct costs as defined in 2 CFR 200.68.

“Cost Sharing” refers to contributions from the organization or other entities other than the U.S. Embassy. It also includes in-kind contributions such as volunteers’ time and donated venues.

Alcoholic Beverages: Please note that award funds cannot be used for alcoholic beverages.