

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:	Partnership for Nuclear Threat Reduction
Funding Opportunity Number:	SFOP0007369
Deadline for Applications:	January 29, 2021 11:59PM EDT
CFDA Number:	19.033
Total Amount Available:	\$2,000,000

A. PROGRAM DESCRIPTION

The Office of Cooperative Threat Reduction (ISN/CTR), part of the Department's Bureau of International Security and Nonproliferation (ISN), sponsors foreign assistance activities funded by the Nonproliferation, Anti-terrorism, Demining and Related Programs (NADR) account, and focuses on mitigating weapons of mass destruction (WMD), related delivery systems, and advanced conventional weapons proliferation and security threats from proliferator states and non-state actors. Please carefully follow all instructions below.

ISN/CTR administers the Partnership for Nuclear Threat Reduction Program (PNTR), which works to counter the damaging nonproliferation and nuclear security impacts of aggressive civil nuclear reactor exports by great power competitors, and to prevent states or terrorists from diverting or acquiring nuclear material, technology, or expertise that could be used to attack the United States. PNTR implements:

- 1) A new priority line of effort to advance capacity-building with third country partners to impede great power rivals' aggressive and destabilizing civil nuclear reactor exports and their malign nonproliferation impacts. This line of effort represents the primary focus of the PNTR program.
- 2) A traditional line of effort to strengthen nuclear security practices and train foreign partners to mitigate threats from radicalized or coerced personnel at sensitive nuclear facilities. This line of effort represents legacy work that continues at a significantly reduced volume as compared with previous years. In general, PNTR funds a very limited number of these traditional projects with implementers who have long-standing nuclear security relationships with stakeholders in the priority regions listed below.

The new priority line of effort is designed to enhance U.S. bilateral and multilateral cooperation, consistent with the International Atomic Energy Agency's (IAEA) nuclear energy infrastructure milestones approach, in nuclear energy infrastructure development, nuclear security, and capacity-building to support secure deployment of a Small Modular Reactor (SMR) or other advanced reactors to partner countries. Recognizing the many years it takes to put in place the necessary infrastructure to support a nuclear power program, PNTR provides essential capacity-building support and technical expertise to priority partner countries to advance the secure utilization of civilian nuclear reactors, especially SMRs and other advanced reactors.

Priority Regions: PNTR's new priority line of effort prioritizes nuclear newcomer countries primarily located in Southeast Asia, sub-Saharan Africa, Latin America, and the Middle East. Anticipated countries for new engagement may include (in approximate order of priority) Ghana, Philippines, Nigeria, Vietnam, Uganda, Slovenia, Armenia, and Estonia. PNTR also seeks to continue work that is underway or anticipated in FY21 with countries such as Indonesia, Kenya, Brazil, and Malaysia.

Priorities for PNTR FY21 funding in the traditional line of effort include a very limited number of countries including South Africa, Egypt, Libya, and others. As a U.S. foreign assistance program authorized to deliver nonproliferation capacity-building abroad, PNTR does not fund projects intended to strengthen nuclear security of U.S. institutions or efforts to train U.S. and U.S.-based institutions.

Program Objectives:

ISN/CTR sponsors foreign assistance activities funded by the Nonproliferation, Antiterrorism, Demining and Related Programs (NADR) account, and focuses on mitigating proliferation and security risks from state and non-state actors.

In Fiscal Year 2021 (FY21), PNTR will fund activities that align with and support one or both of its two goals. PNTR's priority main priority of focus is the first goal below, but will consider proposals advancing the second goal below on a limited basis.

PNTR Goals:

Counter security and proliferation vulnerabilities posed by Chinese and Russian exports of civilian nuclear reactors. Russia and China seek to expand their malign influence and erode global nuclear nonproliferation and security norms through strategically targeted assistance and sales of civilian nuclear reactors—now including small modular reactors and advanced reactor designs—to states in South and Southeast Asia, Latin America, Africa, and the Middle East. These exports erode the ability of the United States to uphold and strengthen global nuclear nonproliferation, security, and safety norms at the facility and national level and in international forums such as the IAEA.

Funded activities under this line of effort will emphasize:

- Engaging high-level nuclear energy, science, and regulatory officials and other governmental stakeholders in partner countries for capacity-building engagements—both remote and in-person—to illustrate and counter threats to their sovereignty, security, and safety posed by nuclear energy collaboration with Russia and China.
- Conducting capacity-building training, workshops, symposia, roundtables, and study tours for governmental, industrial, scientific, and academic stakeholders in partner countries on the security, safety, sovereignty, liability, financial and reputational risks associated with Russian and Chinese civil nuclear reactor exports.
- Raising awareness and developing national and regional strategies to counter the nuclear security, nonproliferation, environmental, and sovereignty risks associated with deployment of floating nuclear power plants in the South China Sea and other strategically significant locations.

Strengthen nuclear security practices and mitigate threats from radicalized or coerced personnel at sensitive nuclear facilities. All known cases of theft involving nuclear material have been led or abetted by insiders. To address this threat, PNTR enables government and facility authorities to more effectively prevent radicalized, disgruntled, or coerced insiders from diverting nuclear material, technology, and expertise. PNTR seeks to fund FY21 projects in South Africa, Egypt, Libya, and other countries.

Funded activities under this line of effort will emphasize:

- Activities to develop and implement trustworthiness programs and related regulatory and sub-regulatory guidance (i.e., human reliability programs, fitness-for-duty, etc.) at a facility, organizational, or national level and/or to mitigate the risk of an insider threat.
- Training, roundtables, and exercises that identify threats or mitigate risks from radicalized or coerced personnel to sabotage or divert nuclear material, technology, or expertise. Training aims may range from raising awareness of radicalization indicators and behavioral observation techniques that can mitigate these risks, to host institution adaptation and implementation of human reliability programs.
- Leveraging regional and multilateral training and events, both in person and online, to provide capacity-building support in partnership with internationally recognized nonproliferation, nuclear security, and nuclear educational organizations and institutions.

Participants and Audiences:

While global in scope, PNTR directs its efforts towards individual countries to maximize its programmatic impact. PNTR is primarily interested in engaging partner countries' nuclear energy agencies, regulatory authorities, reactor operators, and technical organization decision makers. Audiences for these activities may include, but are not limited to:

- **Government Operators, Regulators, and Security Personnel:** PNTR engages operators, regulators, and security personnel to implement programs that ensure the highest standards for nuclear security and nonproliferation, preventing the malign influence associated with Chinese and Russian nuclear energy cooperation and reactor sales and reinforcing nuclear security culture and organizational systems.
- **Technical Organization Decision Makers:** To ensure the sustainability and success of PNTR engagement with operators, regulators, and security personnel, PNTR engages relevant decision makers and nuclear industry officials.

For its new priority line of effort, PNTR seeks to engage nuclear security, energy, and nonproliferation decisionmakers, including at senior levels, in partner countries listed in the Priority Regions section above regarding paths forward for secure, sustainable, proliferation-resistant approaches to civil nuclear energy in their respective countries.

Other Considerations:

- **Leveraging Technical and Other Expertise:** PNTR incorporates relevant experts from U.S. and international technical organizations in its training activities. PNTR seeks to incorporate lessons learned and best practices from the nuclear industry.

- **Tailored Engagement Strategies:** PNTR sponsors projects that are relevant to each partner country's needs, capabilities, infrastructure, and regulatory environment. Rather than adopting a one-size-fits-all approach, PNTR trainings are based on an understanding of technical and human capacity in each partner country, take cultural considerations into account, and build upon past PNTR or other expert trainings.
- **Utilizing Innovative Technology:** To sustain developments made during in-country trainings and to provide consistent, regular support throughout project implementation, PNTR encourages the use of online training modules and virtual communication for capacity building.
- **Concrete Impact:** PNTR seeks to move beyond awareness-raising and toward actual adoption, implementation, and sustainment of best practices. To accomplish this, PNTR is open to a variety of approaches, including leveraging private sector capabilities.

The PNTR program engages with partners on nuclear security and sovereignty in an ongoing endeavor. To this end, ISN/CTR will evaluate each proposal, and each project during implementation, based on the strength of its proposed structure of engagement activities and established milestones, seeking work that will continue throughout the period of the project and utilize in-country activities where necessary to ensure the effectiveness of the ongoing training effort.

B. FEDERAL AWARD INFORMATION

Length of performance period: Twelve (12) Months

Award amounts: awards may range from a minimum of \$25,000 to a maximum of \$250,000

Total available funding: \$2,000,000

Type of Funding: FY21/22 Nonproliferation, Anti-Terrorism, Demining and Related Activities Funds under the Foreign Assistance Act.

Anticipated project start date: October 1, 2021

Funding Instrument Type: Interagency Agreements (IAAs) and 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 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.

2. 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.

3. 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.

4. Submission Dates and Times

Applications must be submitted on or before January 29, 2020, 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.

5. Funding Restrictions

Of note, legal restrictions prevent ISN/CTR from providing assistance to Burma, China, Iran, North Korea, South Sudan, Sudan, and Syria.

6. Other Submission Requirements

All application materials must be submitted electronically through www.Grants.gov.

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. ISN/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 ISN/CTR's global threat reduction mission. ISN/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. ISN/CTR must be able to determine that proposed costs are reasonable, allowable, and allocable to the proposed project activities. ISN/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.

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.** ISN/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 ISN/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 ISN/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

Terms and Conditions: Before submitting an application, applicants should review all the terms and conditions and required certifications that will apply to this award, to ensure that they will be able to comply. These include: 2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions.

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 ISN/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.

G. FEDERAL AWARDING AGENCY CONTACTS

If you have any questions about the grant application process, please contact:

Laura Schmidt Denlinger

Office of Cooperative Threat Reduction, U.S. Department of State

Email: DenlingerLS@state.gov

Phone: 1-202-340-6236

Direct any NOFO submission (non-programmatic) questions to:

Office of Cooperative Threat Reduction Budget Team 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.

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