

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: FY19 Countering Ballistic Missile and Related Technology Proliferation
Funding Opportunity Number: SFOP0005488
Deadline for Applications: February 1, 2019
CFDA Number: 19.033

A. PROGRAM DESCRIPTION

ISN/CTR sponsors foreign assistance activities funded by the Nonproliferation, Anti-terrorism, Demining and Related Programs (NADR) account, and focuses on mitigating proliferation risks from state and non-state actors in the Middle East, North Africa, South Asia, and Northeast Asia.

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) and other international sanctions. This Notice of Funding Opportunity (NOFO) solicits proposals specifically aimed at countering the development and the advancements in Iran's ballistic missile program and improving international adherence to the appropriate UNSCRs, and other international multilateral and bilateral sanctions.

Iran relies upon outside procurement and trade networks to finance and obtain ballistic missile technology and equipment for their programs. Certain United Nations Security Council Resolutions obligate states to prevent the proliferation of ballistic missile technology and equipment, and establish appropriate domestic controls over related materials. Proposals may call for technical and policy expertise and training to private companies, government stakeholders, industry associations, and others to promote awareness of and compliance with relevant UNSCRs prohibiting the Islamic Republic of Iran from developing ballistic missiles designed to be capable of delivering nuclear weapons. This will enhance the ability of governments and private industry to detect, disrupt, and prevent Iran's procurement of controlled or other dual-use materials and technologies for its missile program.

Countering the development of and advancements in Iran's ballistic missile program requires identifying the individuals, companies, and logistics networks involved in illicit activities and detecting the strategies used to evade sanctions. Such information would assist with international efforts to proactively monitor and enforce prohibitions on efforts to obtain ballistic missile and related technology. To this end, ISN/CTR will fund projects which build capacity in partner countries to enforce the relevant UNSCRs in order to counter the proliferation of ballistic missile technology. These efforts help minimize opportunities for proliferant states, including the Islamic Republic of Iran, to develop WMD and delivery systems that threaten the United States, including long-range and intercontinental ballistic missiles.

Executing this foreign policy mission requires a thorough understanding of networks that facilitate the proliferation of ballistic missile technology. To this end, ISN/CTR will also fund projects that use open source research to identify entities involved in the proliferation of ballistic missile technology and emerging UNSC sanctions evasion techniques. This documented evidence may be provided to partner states so that they can act to prevent the transfer of missile technology and equipment to proliferant states including the Islamic Republic of Iran.

Objectives

- By the end of the award's period of performance, the recipient will have successfully developed and implemented a project to advance CTR's mission by activities that could include:
- Enhancing partner governments' capabilities to enforce relevant UNSCRs restricting or prohibiting the transfer of ballistic missile-related equipment and technology to the Islamic Republic of Iran to include:
 - Developing innovative, country-specific and regional training and other technical assistance programs to build capacity to identify and take action to prevent transfers of ballistic missile technologies to the Islamic Republic of Iran, and counter ballistic missile technology procurement networks;
 - Providing technical and policy expertise and training to government stakeholders as well as private companies, industry associations, and others on compliance with relevant UNSCRs to prevent the transfer of ballistic missile systems and equipment to the Islamic Republic of Iran;
 - Building capacity of stakeholders to conduct stringent end-user assessments to prevent unwitting commercial transfer of ballistic missile technology, equipment, and related systems through know-your-customer programs and other activities.
- Gathering, categorizing, and synthesizing open source English and foreign language data, including Chinese, Persian, Arabic, Russian, Ukrainian, Hindi, Urdu, Bulgarian, Macedonian, Turkish, Azerbaijani, Malay, Korean, and other applicable languages on missile technology transfers (current and historical), weapons transactions, military procurement linkages, and proliferation networks with the aim to use the information and reporting to counter the development and the advancements in Iran's ballistic missile program.
 - Using subject matter experts to analyze the data and identify proliferation concerns and technology transfers, and
 - Providing a series of reports synthesizing open source data streams to enhance threat reduction activities.

B. FEDERAL AWARD INFORMATION

Length of performance period: 12 months.

Number of awards anticipated: TBD (dependent on amounts)

Award amounts: ISN/CTR prefers projects that cost less than \$250,000 though awards may involve multiple projects that cumulatively exceed \$250,000. ISN/CTR will prioritize proposals that efficiently meet NOFO and programmatic goals at the lowest technically acceptable cost.

Type of Funding: FY19/20 Nonproliferation, Anti-Terrorism, Demining and Related Activities Funds under the Foreign Assistance Act

Total Funds Available: \$9,000,000

Anticipated project start date: October 1, 2019

Funding Instrument Type: Cooperative agreement. Cooperative agreements are different from grants in that bureau staff are more actively involved in the grant implementation.

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*
- *Public International Organizations*

2. Cost Sharing or Matching

This program does not require cost sharing, however proposals which 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.

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.

The organization that submits an application in response to this notice of funding opportunity (NOFO) announcement acknowledges and accepts all of the requirements contained herein. The submission in response to this announcement is voluntary and does not obligate the Department of State to fund the proposal or proposal preparation costs.

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

D. APPLICATION AND SUBMISSION INFORMATION

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:

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 project, and the percentage of their time that will be spent on the project.

Travel: Estimate the costs of travel and per diem for this project, for both program staff, consultants or speakers, and participants/beneficiaries. If the project 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 project, which has a useful life of more than one year (or a life longer than the duration of the project), 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 project. 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 project activities.

Other Direct Costs: Describe other costs directly associated with the project, 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 project 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.

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

Applicants must adhere to the requirements of the Federal Travel Regulation (FTR), including Fly America Act requirements, when proposing and conducting travel. For further information and current foreign per diem rates, please visit:

http://aoprals.state.gov/content.asp?content_id=184&menu_id=78b

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:

<http://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 February 1, 2019 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. 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. (30)
- **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. (25)
- **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. (15)
- **Past Performance:** In reviewing proposals, ISN/CTR will evaluate the organization's past performance on other federal and non-federal grants and cooperative agreements. This will include a review of whether objectives for past awards were met; whether the organization complied with the terms of conditions of past awards, including reporting and financial management requirements; and the timeliness of project implementation. (30)
- **Cyber Security:** Recipients and subcontractors are required to maintain NIST 800 IT Security Standards – (e.g. protective measures that are commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification

of information) on all covered information systems, and to report cyber incidents directly to the grantor within 48 hours of the incident. Proposals must describe the applicants computer and cyber security practices and capabilities.

F. FEDERAL 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 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 which 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 administered by ISN/CTR. 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) 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:

Scott Bruce
Office of Cooperative Threat Reduction
U.S. Department of State
Email: BruceST2@state.gov
Phone: (202) 647 9735

For interagency agreement (IAA) submissions, directly submit application to the relevant program team and copy the budget team (ISN-CTR-BUDGET@state.gov).

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

Office of Cooperative Threat Reduction Management & Special Projects Team
U.S. Department of State
Email: ISN-CTR-BUDGET@state.gov