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: Countering North Korean WMD Proliferation
Funding Opportunity Number: SFOP0007374
Deadline for Applications: January 29, 2021 11:59PM EDT
CFDA Number: 19.033
Total Amount Available: $10,000,000

A. PROGRAM DESCRIPTION

The Department of State's Office of Cooperative Threat Reduction (ISN/CTR) is pleased to announce an open competition for assistance awards through this Notice of Funding Opportunity (NOFO). ISN/CTR invites non-profit/non-governmental organizations, FFRDCs, international organizations, educational institutions, and for-profit organizations to submit proposals for projects that will advance the mission of the Department's Counter-Proliferation Program. ISN/CTR prefers projects that cost less than $250,000 including overhead, though awards may involve multiple projects that cumulatively exceed $250,000.

ISN/CTR sponsors foreign assistance activities funded by the Nonproliferation, Anti-terrorism, Demining and Related Programs (NADR) account, and focuses on mitigating proliferation risk in states and regions, such as Eastern Europe, South and Southeast Asia, South America, the Middle East, and Africa.

In order to bring about the final, fully verified denuclearization of the Korean Peninsula, ISN/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. 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.

FY21 Objectives

As part of the U.S. government's effort to use all available tools to exert pressure on the DPRK to curtail its WMD proliferation, ISN/CTR builds foreign capacities to enforce relevant UNSCRs against the DPRK. ISN/CTR does not support activities related to the training, engagement, or redirection of DPRK nationals or DPRK government or non-government agencies.

Priority Regions: ISN/CTR's Counterproliferation Program (CP) prioritizes capacity-building efforts for countries that face a range of DPRK sanctions-evasion threats, with partner states across East Asia and the Pacific, South Asia, Sub-Saharan Africa, Central and South America and the Caribbean, and selected countries the Middle East/North Africa and in Europe. ISN/CTR encourages proposal submissions that address vulnerabilities associated with the threat environments in each country. Some priority countries can benefit from programmatic efforts highlighted within multiple categories. Importantly, with extremely limited exceptions, ISN/CTR will not provide foreign assistance to developed or high-income countries (e.g., Republic of Korea, France, Saudi Arabia).

ISN/CTR seeks proposals which address the following DPRK sanctions evasion activities:

North Korea conducts cyber theft against vulnerable countries to generate revenue for the regime's WMD program: North Korea generates substantial revenue for its weapons of mass destruction programs through widespread and increasingly sophisticated cyber operations against vulnerable institutions worldwide. DPRK cyber actors, under the direction of the regime, have committed dozens of cyber-attacks targeting financial institutions, cryptocurrency exchanges, and virtual currency mining entities in at least 17 countries. ISN/CTR seeks proposals that engage central banks, private financial institutions (FIs), and designated non-financial businesses and professions (DNFBPs) to reduce the risk of DPRK cyber exploitation, including but not limited to:

- Training governmental officials to promote the implementation of effective cybersecurity practices at financial institutions, central banks, and cryptocurrency exchanges;
- Imparting to relevant law enforcement officials the knowledge and tools to successfully investigate malware and other cyber-attacks for links to DPRK activity and report attribution;
- Engagements with management representatives of FIs, DNFBPs, and cryptocurrency exchanges to counter DPRK cyber-theft;
- Training technical and non-technical staff at FIs, DNFBPs, and cryptocurrency exchanges to prevent DPRK cyber-theft by identifying common social engineering techniques such as phishing attacks and adopting enhanced cybersecurity measures; and
- Ensuring that decision-makers in vulnerable institutions understand the sanctions risk associated with transacting with DPRK-linked cyber actors, i.e. making ransomware payments, etc.

For fiscal year 2021, ISN/CTR's priority countries for this line of effort lie in the following geographic regions, as defined by the U.S. Department of State: East Asia and Pacific (EAP), South and Central Asia (SCA), Sub-Saharan Africa (AF), and selected countries in the Western Hemisphere (WHA), Middle East/North Africa (NEA) and Europe and Eurasia (EUR).

North Korea, using a network of shell companies and foreign representatives, is laundering money through foreign banks and cryptocurrency exchanges to fund its WMD programs: Despite being largely cut off from the international financial system, the DPRK uses a complex web of shell companies and facilitators to conduct financial transactions that generate, launder, transfer, or expend revenue used to support its nuclear and missile programs. ISN/CTR seeks proposals that will enhance the abilities of partner governments and the private sector to identify, report, and disrupt DPRK proliferation finance activities, including but not limited to:

- Training government entities such as financial intelligence units, law enforcement financial supervisors, and law enforcement to identify DPRK-linked proliferation finance activity, improve public-private information sharing on DPRK money laundering, and implement counterproliferation finance controls;
- Training relevant government officials to ensure that effective counterproliferation finance controls are adopted at cryptocurrency exchanges operating in their jurisdictions;
- Enhancing the ability of national-level prosecutors and judicial officials to prosecute DPRK proliferation finance activities as well as the ancillary crimes that accompany DPRK sanctions evasion activities; and
- Ensuring financial institutions, DNFBPs, cryptocurrency exchanges, and other relevant private sector stakeholders conduct enhanced due diligence to identify individuals and entities operating on behalf of the DPRK and report suspicious transactions.

For fiscal year 2021, ISN/CTR's priority countries for this line of effort lie in the following geographic regions, as defined by the U.S. Department of State: East Asia and Pacific (EAP), South and Central Asia (SCA), Sub-Saharan Africa (AF), and selected countries in the Western Hemisphere (WHA), Middle East/North Africa (NEA) and Europe and Eurasia (EUR).

North Korea exploits shipping registries to evade UN sanctions on maritime commerce and generate revenue for the development of WMD: DPRK-linked entities, including trading partners, evade sanctions by using falsified documents to register vessels and by disabling ships' identification/location transponders to conduct dark voyages. Additionally, registries with lax enforcement mechanisms fail to identify, deregister, and report DPRK-linked vessels. ISN/CTR seeks proposals that enhance the ability of shipping registries to detect and halt DPRK sanctions evasion, including but not limited to:

- Training publicly and privately-operated shipping registries to conduct proper due diligence to identify, deregister, and report DPRK-linked vessels already on, or applying to, their registry;
- Trainings in both bilateral and multilateral settings to help standardize compliance initiatives, as well as trainings that find creative opportunities to reach registries that ISN/CTR has yet to engage;
- Assisting countries to conduct audits of their shipping registries and deregister DPRK-linked vessels, as well as training countries to conduct audits on their own;
- Encouraging and training ship registry personnel, when deregistering or denying applications, to comply with information-sharing and reporting requirements to other ship registries, the United Nations, the U.S., and the wider maritime community; and,
- Training shipping registries to adopt advanced due diligence measures such as adopting compliance protocols or implementing "geofencing," which triggers an alert if a vessel enters a certain area or slows down/stops for unapproved reasons.

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North Korea uses ship-to-ship transfers to export coal or import refined petroleum in violation of UN sanctions: Despite robust sanctions, North Korea continues to conduct illicit ship-to-ship transfers of refined petroleum and coal, including by obfuscating its connection to this activity with the various commercial stakeholders involved in the supply-chain. ISN/CTR is looking for proposals that enable, motivate, and incentivize global commodity trading, supplier, and brokering companies, financial institutions, insurers, shipping industry associations, ship owners, operators, and charterers, classification societies, vessel captains and crewing companies, and other commercial stakeholders proactively to identify and report clients that facilitate these transfers, through activities such as:

- Training on DPRK illicit transfer practices and countermeasures for private sector stakeholders involved in the oil/coal supply chain;
- Training larger private sector institutions to adopt and standardize advanced due diligence practices, as documented in the 2020 U.S. Sanctions Advisory for the Maritime Industry, Energy and Metals Sectors, and Related Communities, in their respective sectors and to showcase this work to smaller institutions with weaker compliance systems; and,
- Workshops that continue to facilitate information sharing and coordination across all sectors and stakeholders involved in the oil/coal supply chain.

For fiscal year 2021, ISN/CTR's priority governments, maritime service providers, commodity supply chain participants, and ship registries for this line of effort lie in the following geographic regions, as defined by the U.S. Department of State: East Asia and Pacific (EAP), South and Central Asia (SCA), Sub-Saharan Africa (AF), and selected countries in the Western Hemisphere (WHA), Middle East/North Africa (NEA) and Europe and Eurasia (EUR).

North Korea is exporting and importing sanctioned commodities in violation of UN sanctions: The North Korean regime is exploiting inconsistent implementation of international sanctions to continue its trade in prohibited commodities, including the sale of such goods as coal and seafood and the import of products such as refined petroleum (in excess of UN-imposed limits) and luxury goods. ISN/CTR seeks effective and innovative proposals designed to halt North Korea's illicit trade of commodities, including but not limited to:

- Training officials to establish or update national luxury goods lists to ensure that partner governments can interdict luxury good shipments bound for North Korea or prosecute entities operating on behalf of North Korea;
- Training law enforcement and customs officials to address the sale of sanctioned commodities while enhancing existing codes of conduct, regulations, and due diligence practices to increase detection of DPRK-linked commerce;

- Using trade gap analyses focused on potential revenue losses due to sanctions violations to encourage partners to enhance their documentation review processes;
- Training regulatory bodies to leverage existing legal statutes to seize prohibited DPRK-linked commodities and prosecute those associated with the transaction; and,
- Improving existing capabilities to identify and disrupt prohibited DPRK trade through the utilization of commercially and publicly available trade data.

For fiscal year 2021, ISN/CTR's priority countries for this line of effort lie principally in the East Asia and Pacific (EAP) region, but also in South and Central Asia (SCA), Sub-Saharan Africa (AF), and selected countries in the Western Hemisphere (WHA), Middle East/North Africa (NEA) and Europe and Eurasia (EUR).

North Korean laborers abroad generate revenue which is used by the regime to develop WMD: North Koreans work outside the DPRK only under authority of the regime and for its benefit. Information technology, construction, and putative medical services are the higher-earning fields in which DPRK nationals work in over three dozen countries despite the global obligation of UN Member States to repatriate them. ISN/CTR seeks proposals for engagement with government and other relevant audiences such as prosecutors to energize the global repatriation of DPRK workers, including but not limited to:

- Convening labor and health ministry, immigration, foreign affairs, and law enforcement officials to improve inter-agency activism on identifying and expelling DPRK nationals, including those whose nationality has been obscured or falsified;
- Raising awareness among government and media leaders about financial, health, public safety, network security, and further risks associated with DPRK labor, including putative aid professionals;
- Working with prosecutors to determine new approaches to disrupting DPRK laborer activities where national immigration or related authorities for their expulsion are not in place; and,
- Training immigration and customs personnel in database analysis and relevant open source research techniques.

For fiscal year 2021, ISN/CTR's priority countries for this line of effort lie principally in the regions East Asia and Pacific (EAP), Sub-Saharan Africa (AF), South and Central Asia (SCA), and Europe and Eurasia (EUR). Other countries or regions will be considered if a strong nonproliferation and threat reduction justification is supplied.

North Korean nationals, including diplomats, travel abroad and engage in commerce to generate revenue for the regime's WMD program: North Korean nationals engage in sanctioned commercial activities to generate revenue for the regime. This includes North Korean diplomats who use the diplomatic pouch to smuggle illicit goods, including drugs, cash, and exotic animal parts. ISN/CTR seeks innovative programmatic solutions to halt these activities, including but not limited to:

- Training customs officers to recognize and inspect the goods of North Koreans abroad, including inspecting baggage that has not been properly pouched; and
- Ensuring partners understand and work to halt the criminal activities of North Korean nationals traveling abroad, including those abusing diplomatic privileges and immunities.

For fiscal year 2021, ISN/CTR's priority countries for this line of effort lie principally in the regions East Asia and Pacific (EAP), Sub-Saharan Africa (AF), and South and Central Asia (SCA), but may also include countries worldwide that host DPRK diplomatic or trade promotion offices.

Open-source information on North Korea's continually-evolving sanctions evasion to inform and be incorporated into ISN/CTR programming: The DPRK employs an evolving network of witting and unwitting individuals, corporate entities, maritime vessels, and diplomatic missions to conduct and conceal its sanctions evasion activities. ISN/CTR seeks to produce reporting based on rigorous collection and analysis of open source and commercially available information for the purpose of providing unclassified information to foreign governments to make them aware of and assist their investigations into DPRK sanctions-evasion activity. ISN/CTR is interested in deliverables that provide immediate, *actionable* information on specific entities or activities to this end, and also as case studies to be included in capacity-building programming.

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In addition to these categories, CTR is willing to consider innovative activities that address emerging and unanticipated DPRK proliferation threats.

FY21 Approach

Tailored Engagement Strategies: ISN/CTR sponsors projects that respond to each partner country's needs, capabilities, infrastructure, and existing legal and regulatory structures, rather than a one-size-fits-all approach. We will sponsor trainings that are based on an understanding of technical and human capacity in each partner country, take cultural considerations into account, and build upon past experience.

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 implementation and compliance best practices.

Multi-Implementer Teams: ISN/CTR encourages the use of multi-implementer teams when collaboration will take advantage of each implementer's unique capabilities and expertise. Our implementers collaborate and share information as requested by ISN/CTR and may design and propose linked projects for joint implementation. In such cases, each collaborating organization must have distinct lines of effort for which it is clearly responsible and a distinct budget for the completion of its efforts, but there must also be a single point of contact in the lead organization accountable to ISN/CTR for the totality of project implementation and who can respond to ISN/CTR requests.

Sustainability: ISN/CTR programming builds on previous international and domestic efforts to institutionalize nonproliferation and sanctions enforcement practices. Proposals should plainly state how the project will guarantee lasting procedural change rather than a general increase in threat awareness. Compelling project proposals will describe how the outcome(s) of the project will endure in the absence of additional funding.

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: $10,000,000
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. ISN/CTR will play an active role in developing and shaping the materials developed and implanted during this award. ISN/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. <u>Eligible Applicants</u>

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 **<u>required</u>**:

<u>Section 1 - Application for Federal Assistance (SF-424):</u>
This form is part of the NOFO proposal package.

<u>Section 2 – Project Proposal(s):</u>
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.

<u>Section 3 - Budget:</u>
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:** ISN/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. <u>Federal Award Notices</u>

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.

<u>2. Administrative and National Policy Requirements</u>

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.

<u>3. Reporting</u>

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:
Mark Scheland
Office of Cooperative Threat Reduction, U.S. Department of State
Email: SchelandMD@state.gov
Phone: 1-202-736-7449

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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