

United States Department of State
Bureau of International Security and Nonproliferation
Notice of Funding Opportunity (NOFO):
Strategic Trade Control Capacity in East/Southeast Asia
Funding Opportunity Number: DFOP0009162

Assistance Listing Number: 19.901

Solicitation Type: Open Competition

Award Type: Cooperative Agreement

Funding Floor (if applicable): N/A

Funding Ceiling: Approximately \$1,850,000

Funding Authority: Foreign Assistance Act of 1961, as amended (FAA)

Cost Sharing: Not Required

Number of Awards: 3 award(s)

Period of Performance: 24 months

Application Deadline: 11:59 PM EST on 19, April 2024

Question Submission Deadline: 11:59 PM EST on 22, March, 2024

Notification of Recommendation for Funding: 11:59 PM EST on 02 Sep, 2024

Application Submission: MyGrants/Electronic

Eligibility Applicants: U.S.-based non-profit/non-governmental organizations with or without 501(c) (3) status of the U.S. tax code; foreign-based non-profit organizations/nongovernment organizations (NGO); Public International Organizations; Foreign Public Organizations; U.S.-based private, public, or state institutions of higher education; Foreign-based institutions of higher education, and domestic or foreign for-profit organizations or businesses.

Number of Applications: 1 application per line of effort.

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SECTION A: FUNDING OPPORTUNITY DESCRIPTION

A.1. Background

The U.S. Department of State, International Security and Nonproliferation, Office of Export Control Cooperation (ISN/ECC) announces an open competition for organizations (see eligibility information in C.1) interested in submitting application to implement a project aimed at advancing U.S. foreign policy and national security priorities by supporting initiatives that ensure partner states' strategic trade control systems meet international standards and by engaging on bilateral, regional and multilateral levels with foreign governments to aid in the establishment of independent capabilities to regulate transfers of weapons of mass destruction, WMD-related items, conventional arms, and related dual-use items, and to detect, interdict, investigate, and prosecute illicit transfers of such items.

ISN/ECC administers the Export Control and Related Border Security (EXBS) Program. The EXBS Program Mission is to enhance U.S. national security by preventing proliferation of WMD and illicit trade in conventional weapons, and to strengthen partner countries' capabilities to comply with international strategic trade control norms and enforcement best practices. EXBS trains border security personnel and law enforcement officials to detect, interdict, investigate, and prosecute illicit transfers of conventional weapons and to ensure that international ports of entry have adequate equipment to screen suspicious cargo. EXBS also assists partner countries in the establishment of independent strategic trade control authorities to regulate transfers of technologies and material that could be used for WMD, related delivery systems, or advanced conventional weapons. To strengthen compliance with international strategic trade control norms and U.N. sanctions resolutions, EXBS also conducts outreach to the private sector to help industry better understand its nonproliferation obligations.

The purpose of this award is to help EXBS partners in East and Southeast Asia build capacity to implement and enforce strategic trade controls and

related mechanisms (e.g., foreign direct investment screening regimes) in order to mitigate proliferation risks.

A.2.1 Line of Effort #1: Foreign Direct Investment (FDI) Screening in East & Southeast Asia

The approximate amount of funding available for this LOE is \$789,200.

A.2.1.1 Problem Statement

Indonesia, Malaysia, Singapore, the Philippines, and Mongolia are at various stages of exploring and implementing FDI screening mechanisms based on national security concerns. Various foreign and economic/trade policies as well as the motivations of private sector actors, third-party governments, and state-owned enterprises have resulted in significant exposure to national security risks as from foreign direct investment. These risks are present both to technology of proliferation concern, as well as to critical infrastructure, namely at ports of entry and other means of conveyance for goods of proliferation concern, including dual-use goods. These countries would benefit from tailored engagement on FDI benefits, risks, and risk mitigation to support their respective capacities to ensure national security as well as economic prosperity and fulfillment of obligations such as those of UNSCR 1540.

A.2.1.2 Project Goal

ISN/ECC proposes tailored engagement with these countries, including multilateral and/or regional activities as appropriate, to support their implementation of FDI screening mechanisms. The below high-level tasks are outlined as likely necessary steps to support each country under this award; however, significant variation may be necessary for each country based on respective status. Alternative concepts and/or approaches may be considered if they can demonstrate a more effective approach to supporting partner implementation of FDI screening mechanisms. This includes the

potential addition of other partner countries in the region if the applicant can justify their involvement.

- Understand partner FDI screening status, aspirations, challenges, and opportunities.
- Identify priority sectors for FDI screening based on economic and trade trends, development goals, national security risk, and concerns around weapons and dual-use goods proliferation and/or critical infrastructure.
- Map respective government stakeholders with regulatory authority or other stakes in these priority sectors.
- Educate partner nation government stakeholders on effective FDI screening practices, in light of both benefits and risks of FDI; this may be done through comparative analyses, discussions of effective practices, and/or case studies of existing regimes.
 - As these partner nations are at different stages of exploring and implementing FDI screening mechanisms, these engagements must be appropriately tailored.
- Support drafting of FDI screening model tailored for the targeted countries, including mapping agency roles/responsibilities, drafting legal and regulatory frameworks where necessary, identifying key internal and external requirements and resources, and testing/exercising the potential model and building interagency coordination (e.g., through tabletop exercises) with interagency stakeholders.
- Conduct tailored consultations to support implementation, effective practices, interagency coordination, etc.
- Provide user-friendly conceptual models, manuals, and/or standard operating procedures to support adoption of FDI screening mechanisms based on each partner's progress.
- Conduct a potential study visit(s) to third country(ies) to showcase implementation of effective FDI screening for national security.

- Include engagement with countries/partners with more mature FDI screening regimes (e.g., Taiwan, Japan, Australia, etc.) in exchanges and/or workshops to improve information exchange and international collaboration on FDI risk mitigation.

Note that for a highly competitive proposal and as circumstances may necessitate, ISN/ECC may opt to switch and/or add partner countries – with associated funding – to this effort, but this outcome is not guaranteed. Additionally, ISN/ECC expects the implementer will propose a flexible approach which can adapt to the particular circumstances of the partner countries.

A.2.1.3 Objectives

ISN/ECC expects that the Activities and Outcomes of this Award will work towards the following ISN Goals and EXBS Program Objectives:

ISN Bureau Objective(s)	
X	Counter the PRC's Military-Civil Fusion Strategy
X	Disrupt or Deter Proliferation by State or Non-State Actors that Threaten International Security
X	Strengthen Other States' Capabilities to Counter Proliferation

ISN ECC Objective
Help adopt and implement effective measures to screen foreign investments that may pose national security risks through exploitation of sensitive technologies and critical infrastructure sectors.

Capability: Foreign Direct Investment Screening	
X	Legal authority to mandate reporting of potential foreign investments into sensitive technologies or critical infrastructure sectors by a foreign-owned or -controlled entity
X	Authority to deny or restrict FDI based on national security concerns, including technology diversion, WMD proliferation, and military end-use risks.
X	Interagency-based mechanism to review and adjudicate FDI applications.
X	Capacity to monitor implementation of mitigating measures and reverse transactions that were not properly declared and adjudicated.

ISN ECC Objective	
Improve DEIA Principles within EXBS Assistance Provided to Partner Countries.	
Capability: DEIA Advancement	
X	Implementation of DEIA within Specific Assistance Projects

A.2.2 Line of Effort #2: Prosecuting Proliferation Cases in Malaysia, Indonesia, and Mongolia

The approximate amount of funding available for this LOE is \$591,900.

A.2.2.1 Problem Statement

Malaysia, Indonesia, and Mongolia are at different stages of both legal/regulatory foundations and investigative and prosecutorial capability to enforce STC laws and regulations. The relative novelty of such laws challenges partner nation authorities in both initiating and carrying out enforcement and prosecution actions, including the additional challenge of judiciaries which are relatively unfamiliar with the laws as well as hearing cases that fall under them. However, each country does have an existing

legal structure which may include other laws and/or regulations which can be used to prosecute proliferation-relevant cases, such as health and safety laws, anti-fraud laws, anti-money laundering and/or countering finance of terrorism (AML/CFT) laws, etc.

A.2.1.2 Project Goal

ISN/ECC proposes tailored engagement with these countries to build the capacity of law enforcement, prosecutors, and judiciary officials to handle STC violation and proliferation cases. The below high-level tasks are outlined as likely necessary steps to support each country under this award; however, significant variation may be necessary for each country based on respective status. Alternative concepts and/or approaches may be considered if they can demonstrate a more effective approach to supporting partner consideration of updated laws and regulations to catalyze more effective enforcement of STCs. This includes the potential addition of other partner countries in the region if the applicant can justify their involvement.

- Analyze legal landscape for participant countries as it relates to prosecutable proliferation-relevant offenses under STC and related laws.
- Understand relevant historical cases and current capacity to prosecute and adjudicate STC violation cases.
- Map respective government stakeholders with roles in the enforcement and prosecution of STC laws.
- Educate partner nation government stakeholders on effective STC prosecution through comparative analyses, discussions of effective practices, and/or case studies.
 - As these partner nations have varied legal authorities and agencies, these engagements must be tailored based on their particular circumstances.
- Conduct tailored consultations and mentorship.
- Conduct a potential study visit(s) to third country(ies) to showcase effective use of legal authorities to prosecute STC violations.

- Include engagement with countries/partners which have successfully prosecuted STC violations to increase regional cooperation (e.g., Taiwan, Japan, Australia, Republic of Korea).

Additionally, ISN/ECC expects the implementer will propose a flexible approach which can adapt to the particular circumstances of the partner countries.

A.2.1.3 Objectives

ISN/ECC expects that the Activities and Outcomes of this Award will work towards the following ISN Goals and EXBS Program Objectives:

ISN Bureau Objective(s)	
X	Counter the PRC's Military-Civil Fusion Strategy
X	Build Partner Resilience Against Russian Malign Influence and Exploitation
X	Disrupt or Deter Proliferation by State or Non-State Actors that Threaten International Security
X	Strengthen Other States' Capabilities to Counter Proliferation
X	Promote Diversity, Equity, Inclusion, and Accessibility (DEIA) in Bureau Operations and Programs.

ISN/ECC Objective(s)	
Strengthen Strategic Trade Management Capacity within EXBS Partner Countries.	
National Capability: Strategic Trade Controls Enforcement	
X	Civil/Administrative Penalties

X	Targeting
X	Investigation
X	Asset Freezes
X	Prosecution
National Capability: Interagency/International Coordination	
X	High-Level Coordination Mechanisms
X	International Cooperation Mechanisms
X	Working-Level Coordination Mechanisms
X	Information Sharing Mechanisms

ISN ECC Objective	
Improve DEIA Principles within EXBS Assistance Provided to Partner Countries.	
Capability: DEIA Advancement	
X	Implementation of DEIA within Specific Assistance Projects

A.2.3 Line of Effort #3: Preventing Exploitation of Critical Minerals Supply Chain in Malaysia

The approximate amount of funding available for this LOE is \$443,925.

A.2.1.1 Problem Statement

The Malaysian government has announced a national priority in developing an indigenous end-to-end rare earths industry, from extraction through to end use applications such as batteries and rare earths magnets. Malaysia is home to between 7 and 11 percent of global midstream rare earths processing via Australia's Lynas Rare Earths, which operates the largest processing location outside the PRC, on peninsular Malaysia's eastern coast. Feedstock for the plant comes from Australia and its output is exported for further processing. Seeing an opportunity in global demand for REE and the potential to leverage upstream extraction to entice higher value add investment downstream, PM Anwar's government has decided to prioritize

the development of a domestic rare earths industry that would add significantly to the ecosystem currently anchored by Lynas.

Malaysia faces challenges in creating a regulatory approach that attracts investors, provides clarity on issues of trade and state-federal jurisdiction, and generates lasting economic growth. Malaysia's federal government used its trade powers to ban the export of raw rare earths in September, to promote higher value-added processing, while state governments, which have broad control over land use and extraction, are actively seeking assistance in regulatory development and investment, presenting an opportunity for trusted firms to help develop the industry. Multiple state and federal stakeholders across Malaysia have expressed an interest in manufacturing and processing, not just extracting, critical minerals and rare earths and many have cautioned that PRC companies are quickly cornering the market, given support from the PRC and their willingness to invest in an environment that currently lacks regulatory clarity.

A.2.1.2 Project Goal

This project seeks both to help Malaysia develop an industry that would eventually provide more robust and diverse sources of rare earths for global markets, while illustrating for stakeholders that certain investors in the space are rife with risks, such as likely being driven by a goal of controlling the market more than assisting in Malaysia's development.

Applicants should propose an approach to:

- Raise awareness (e.g., via workshops or other in-person / hybrid engagement) among mining, foreign trade, and customs authorities, as well as industry representatives, in Malaysia to:
 - Understand the economic and national security (including proliferation)-related applications of relevant critical minerals and RE+Es;
 - Understand the risks of supply chain dominance and exploitative practices by predatory actors.

- Assist relevant national authorities in Malaysia to consider and adopt legal, regulatory, and enforcement measures that can mitigate risks of predatory investments, foreign domination of the supply chain, illicit exports, etc.;
 - Activities such as tailored consultations, workshop(s), exchange(s), study visit(s), etc.

The above high-level tasks are outlined as likely necessary steps to support each country under this award; however, significant variation may be necessary based on circumstances at time of award performance.

Alternative concepts and/or approaches may be considered if they can demonstrate a more effective approach to supporting Malaysian authorities in securing the critical mineral/REE supply chain from risks that can lead to proliferation of dual-use goods and their raw materials.

A.2.1.3 Objectives

ISN/ECC expects that the Activities and Outcomes of this Award will work towards the following ISN Goals and EXBS Program Objectives:

ISN Bureau Objective(s)	
X	Counter the PRC's Military-Civil Fusion Strategy
X	Disrupt or Deter Proliferation by State or Non-State Actors that Threaten International Security
X	Strengthen Other States' Capabilities to Counter Proliferation
X	Promote Diversity, Equity, Inclusion, and Accessibility (DEIA) in Bureau Operations and Programs.

ISN/ECC Objective(s)

Strengthen Strategic Trade Management Capacity within EXBS Partner Countries.	
National Capability: Laws and Regulations	
X	Export Control
X	Re-Export Control
X	End-User/Catch-All Control
X	Transshipment Control
X	Transit Control
X	Brokering
National Capability: Control Lists	
X	Dual-Use Control List(s)
National Capability: Industry Outreach	
X	Dissemination of Requirements
X	Assistance Provided
X	Industry Engagement
X	Trade Engagement
National Capability: Strategic Trade Controls Enforcement	
X	Declaration Requirements
X	Risk Management
X	Civil/Administrative Penalties
X	Targeting
National Capability: Interagency/International Coordination	
X	High-Level Coordination Mechanisms
X	Working-Level Coordination Mechanisms
X	Information Sharing Mechanisms

ISN ECC Objective	
Strengthen Customs Enforcement and Port of Entry Operations capacity within EXBS partner countries.	
National Capability: Targeting	
X	Authority
National Capability: Inspection and Detection	
X	Authority

ISN ECC Objective	
Improve DEIA Principles within EXBS Assistance Provided to Partner Countries.	
Capability: DEIA Advancement	
X	Implementation of DEIA within Specific Assistance Projects

A.5. Expected Outcomes

All proposals should aim to demonstrate progress toward the intended objectives outlined above.

A.6. Performance Indicators

Application proposals must include well-designed indicators that can be used to monitor project progress and measure actual results to assist ISN/ECC assess the success and impact of activities and project outcomes, as well as facilitate effective monitoring and evaluation.

A.7. Key Considerations

This section may communicate any additional things the applicant should know or would be considered favorable: collaborative efforts such as consortiums are preferred, sustainability goals, inclusion of specific audiences, inclusion of certain approaches such as “do no harm” or gender equity. It may include examples of projects that have been funded previously.

A.8. Substantial Involvement (if applicable)

ISN/ECC anticipates awarding cooperative agreements. The distinction between grants and cooperative agreements revolves around the existence of “substantial involvement.” Cooperative agreements require greater Federal government participation in the project. ISN/ECC will undertake reasonable and programmatically necessary substantial involvement. Substantial involvement areas can include, but are not limited to:

1. Reviewing and approving the engagement outline, draft agenda, and a list of supplemental materials.
2. Reviewing and approving draft course content and any proposed revisions.
3. Reviewing and approving list of proposed participating organizations and persons.
4. Reviewing and approving the scheduling and related logistical arrangements for each engagement.
5. Reviewing and approving all final training materials prior to submission.

Specific areas of substantial involvement will be dependent upon the objectives of the proposal and outlined in the final Agreement(s). The final determination on award mechanism(s) will be made by the Grants Officer.

A.9. Risk Assessment

The proposal(s) must include a risk assessment and a plan for monitoring and mitigating the risks identified. Risks to project implementation may include a variety of political, environmental, and other factors. A few examples include outbreak of violent conflict, elections that change government partners, cybersecurity / hacking, misuse of personally

identifiable information (PII), and diversion of financial or non-financial support to prohibited parties (terrorist financing).

The assessment should also identify risks to staff, implementers, participants, beneficiaries, or their communities. Besides political and environmental factors, risks may include online or in-person potential physical, social, psychological, economic, and/or reputational backlash to beneficiaries as a result of their participation. The proposal should include a participatory needs assessment and explain how its implementers will engage with local actors throughout its lifecycle. Strong proposals will also describe strategies to sustain the activities beyond ISN/ECC funding, or alternatively, how applicants will co-design a responsible exit strategy with local partners and in consultation with beneficiaries.

A.10. Action Plan

The Recipient(s) shall submit to ISN/ECC within 30 days of award a draft action plan that includes a description of planned activities and projected timeframes for accomplishing them. ISN/ECC will review the plan in consultation with appropriate U.S. government and partner country officials, then provide feedback to the Recipient detailing necessary revisions/adjustments to the plan.

The Recipient(s) shall revise the plan in accordance with ISN/ECC feedback and provide to ISN/ECC within 15 working days of receiving that feedback.

A.11. In-Country Consultations and Training

The Recipient(s) shall consult with the Grants Officer Representative (GOR) and, if applicable, the Program Manager prior to engaging in any consultations with foreign experts, U.S. Government

multilateral/international organizations, or EXBS partner government officials.

A.12. Logistics

The Recipient(s) will be responsible for coordinating, organizing, and securing the location of workshop(s) and other in-person engagements/activities, along with interpretation, translation, and the electronic means for virtual engagements/activities, with approval from EXBS.

A.13. Government-Furnished Information (GFI)

ISN/ECC can provide a limited amount of GFI as part of the project(s) if it is determined to be critical towards the success of the project but expects that the Recipient of the Award will utilize publicly available information to create project-related materials.

For additional information on ISN/ECC and the EXBS program, please visit:

<https://www.state.gov/export-control-and-related-border-security-program/>

SECTION B: FEDERAL AWARD INFORMATION

B.1. Available Funding

This notice is subject to availability of funding. The authority for this funding opportunity is found in the Foreign Assistance Act of 1961, as amended (FAA).

If organizations are interested in participating in multiple lines of effort contained in this NOFO, a separate application must be submitted per each LOE with a distinct application number (SAPP000XXXXX). Each application will be reviewed separately and the awarding of any line of effort will depend on the availability of funds.

Organizations may form a consortium and submit a combined proposal. However, only one organization must be designated as the lead applicant, with the remaining organizations designated sub-awardees. The lead applicant must meet the eligibility criteria listed in Section C.

The Department of State reserves the right to (a) fund any or none of the applications received; (b) reserves the right to reduce, revise, or increase the budget in accordance with bureau proprieties and the availability of funds (c) accept other than the lowest cost application.

The U.S. government may make award(s) on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. The U.S. government reserves the right (though it is under no obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the project description, budget, or other aspects of an application.

B.2. Award Management

The successful applicant will need to routinely collaborate with ISN/ECC through regular meetings and conference calls to discuss progress,

challenges, emerging topics, etc. The successful applicant must ensure that all funds are used in a manner consistent with any applicable restrictions on funding and track all funding by country using a template provided by ISN/ECC when the award has multiple funding sources. See D5 below for funding restrictions.

SECTION C. ELIGIBILITY INFORMATION

C.1. Eligible Applicants:

ISN/ECC welcomes applications from U.S.-based non-profit/non-governmental organizations with or without 501(c) (3) status of the U.S. tax code; foreign-based non-profit organizations/nongovernment organizations (NGO); Public International Organizations; Foreign Public Organizations; U.S.-based private, public, or state institutions of higher education; Foreign-based institutions of higher education, and domestic or foreign for-profit organizations or businesses.

Applications submitted by for-profit entities may be subject to additional review following the panel selection process. Additionally, the Department of State prohibits profit to for-profit or commercial organizations under its assistance awards. Profit is defined as any amount in excess of allowable direct and indirect costs. The allowability of costs incurred by commercial organizations is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 CFR 30, Cost Accounting Standards Administration, and 48 CFR 31 Contract Cost Principles and Procedures.

Please see 2 CFR 200.307 for regulations regarding program income.

C.2. Cost-Sharing or Matching

The non-Federal share of costs, frequently called “cost share” or “matching costs”, refers to that portion of the project or program costs not borne by the Federal Government. This may include cash and third-party in-kind contributions. These costs must reflect the realistic capacity of the applicants and any third-party contributors.

Providing cost sharing, matching, or cost participation is not an eligibility factor or requirement for this NOFO and providing cost share will not result in a more favorable competitive ranking. Per 2 CFR §200.306, items that are proposed for cost share must be allowable per 2 CFR §200, Subpart E—Costs Principles.

Voluntary cost-share: Should the applicant choose to contribute voluntary cost-share, in the event the applicant does not meet the minimum amount of the voluntary cost-sharing stipulated in the applicant’s budget, DOS contribution may be reduced in proportion to the Applicant’s contribution.

C.3. Other Eligibility Criteria

Applicants must have existing, or the capacity to develop, active partnerships, local in-country partners, entities, and relevant stakeholders and have demonstrable experience in administering successful and preferably similar projects.

Any applicant listed on the Excluded Parties List System (EPLS) in the [System for Award Management \(sam.gov\)](https://www.sam.gov) 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.gov to ensure that no ineligible entity is included.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

D.1. Address to request Application Package

Applicants can find application forms, kits, or other materials needed to apply on [grants.gov](https://www.grants.gov) and [MyGrants](https://www.mygrants.gov) under the announcement title “Strategic Trade Control Capacity in East/Southeast Asia,” funding opportunity number “DFOP0009162.” Please contact the ECC_Grants@state.gov point of contact listed in Section G if requesting reasonable accommodations for persons with disabilities or for security reasons. Please note that reasonable accommodations do not include deadline extensions.

D.2. Content and Form of Application Submission

Proposals packages must adhere to the attached Proposal Submission Instructions (PSI). Proposal submissions that do not meet all the requirements outlined in this NOFO and the PSI will be deemed technically ineligible. To ensure that all applications receive a balanced evaluation, the review panel will review from the first page of each section up to the page limit and no further.

Applicants must include the following in the proposal submission. **All submissions must be in English.**

- a. **Table of Contents** that lists application contents and attachments (if any).
- b. **Forms:** Completed and signed SF-424, SF-424A and SF424B, as directed in [MyGrants](https://www.mygrants.gov). The Certifications and Assurances that your

organization is agreeing to in signing the 424 are available at [Grants.gov SF-424 family](https://www.grants.gov/SF-424-family);

- c. **Mandatory Disclosures:** If your organization engages in lobbying activities, a Disclosure of Lobbying Activities (SF-LLL) form is required.
- d. **Proposal Narrative** (not to exceed 15 pages, single-spaced, 15-point Calibri font in Microsoft Word, at least one-inch margins), following the structure described below. The proposal narrative should identify inputs, outputs, and outcomes of the proposal activities, timelines, and any qualitative or quantitative targets, and impact. A portion of the program should include compiling, analyzing, and disseminating program results and lessons learned. Applicants should outline a learning plan that demonstrates how the program will be monitored and how monitoring will be analyzed to adapt implementation to support effectiveness and avoid unintended consequences. Some form of independent evaluation must be included in proposals responding to this NOFO. Please elaborate on the type (quasi-experimental, developmental, outcome harvesting, process tracing, etc.). While the type of evaluation is flexible within Department of State guidance, it must be independent.
- e. **One page Diversity, Equity, Inclusion, and Accessibility (DEIA) Plan**
DEIA Plans should address the following categories, the pursuit of which should not take precedence over a proposal's core goals. See Appendix A for definitions of key concepts.
 - *Support staff DEIA:* Consider a diverse pool of potential implementers and sub-implementers to afford employment opportunities to as diverse and inclusive a population as is feasible
 - *SME DEIA:* To the extent possible, consider a diverse population of subject matter experts to deliver training, lead discussions, and present technical information. This may include engaging local and regional experts as trainers. (Note: applicants should not discuss proposals directly with local partners without the explicit approval of ISN.)
 - *Audience DEIA:* Consider how to engage a diverse, representative cross-section of the target-audience population while taking into

- account the objectives of the engagement. This might include considering local representation disparities that are not immediately apparent to those from another culture.
- *Accessibility*: Consider how to actively reduce or eliminate obstacles that would impede participation by people with disabilities.

Plan contents and submission

Applicants may use DEIA Plans to describe how proposals will achieve one or more of the DEIA objectives identified above. Plans need not include specific performance targets, but they should outline any concrete steps or key partners the implementer would leverage to achieve the objectives. Plans may also include information about the applicant's past performance on DEIA-related metrics, both as an employer and as an implementer, and any country specific gender analysis to be conducted. Plans may consist of two separate elements as noted below; implementers can submit one or both elements as part of their proposal. The first element is the project-specific DEIA statement, and the second element is the standalone DEIA summary document.

The first element is project specific language to be integrated into their project proposal consistent with the objectives above. This could consist of actions to be completed as part of the project, demographic targets for participants, key partners that will assist with delivery/implementation, and outside any organization to be engaged if the project is funded. Integrated DEIA Plans should be no more 250 words per project. If the applicant chooses to integrate DEIA Plans into their proposals, they should do so in accordance with the template provided as part of the Notice for Funding Opportunity.

The other element is a standalone document (one per proposal). The standalone DEIA Plan should identify proposal-wide actions, highlight

past performance, highlight staffing information that will impact the performance of the projects, or articulate examples of previous steps taken consistent with the objectives above. Standalone document should be no longer than two pages on standard letter paper with one-inch margins and 15-point Calibri font.

- f. **Risk Assessment described in section A above.**
- g. **Scope of Work** single page word document separate from the proposal but part of the application (includes all proposed program components and links each of these to the specific goal(s) it addresses. This document is not a narrative. It must be in outline form and capture all proposed work to be funded by this project. This includes each proposed program component with a brief statement that links each component to the corresponding goal it supports. SOWs that contain quantitative estimates of expected outputs, outcomes and indicators of success for each component will be considered more competitive.
- h. **A detailed agenda** for engagement and representative sample materials, so that evaluations can be made about course substance. This may be included as an addendum.
- i. **A list** which identifies by name, title, and experience, the subject matter experts it intends to use to implement the projects.
- j. **Summary and detailed Budget** in USD submitted in Excel, budget totals must be rounded up to whole dollars, (not to exceed 6 pages) that includes an explanation for each line item in the spreadsheet, as well as the source and description of all cost. **The total budget should not exceed the cap identified in each Line of Effort. Please provide amount.** The budget must identify the total amount of funding requested, with a breakdown of amounts to be spent in the following budget categories:
 - Personnel;
 - Fringe benefits;
 - Travel;
 - Equipment;

Supplies;
Consultants/contracts;
Other direct costs; and
Indirect costs.

- A budget template may be found here:
<https://www.state.gov/wp-content/uploads/2019/05/Budget-Guidance-for-Applicants-%E2%80%93-New-Award-Budget-Sample.xlsx>
- Travel costs must be further broken down to reflect transportation expenses and per diem, with per diem reflecting correct rates for destination cities. For further information and current foreign per diem rates, please visit:
https://aoprals.state.gov/web920/per_diem.asp
- Applicants must adhere to the requirements of 2 CFR 200.474 when proposing and conducting travel.
- Applicants should budget for lodging site must be at a four-star (or higher) rated hotel within USG per diem rates. ISN/ECC finds Mobil and AAA hotel ratings acceptable. If a four-star hotel is not available within per diem, Implementer may propose a three-star hotel within per diem rates. If proposing a three-star hotel, implementer must provide accompanying rationale explaining why a four-star hotel is not proposed. The lodging sites should be located convenient to the training locations as well as to local restaurants, etc. (For proposal preparation purposes, Implementer should assume that delegates will arrive the day before the training exchange commences and depart the day after it concludes. The Implementer will be responsible for lodging costs only, with delegates personally responsible for incidental charges such as mini bar, pay television, long distance phone calls, room service, etc.). ISN/ECC strongly prefers that

the lodging site be co-located with the training exchange venue. All rooms and hotel facilities shall comply with the current Federal, State, and Local health, fire, and safety regulations and codes.

- k. **Detailed Budget Narrative** (word document separate from the proposal but part of the application): Following the Detailed Budget, please include a Budget Narrative. The budget narrative should elaborate on the detailed budget, not simply repeat with words what is stated numerically in the budget. The narrative is the place to communicate any information that might not be readily apparent in the budget. For example, in the budget narrative the applicant may:
 - a. Explain how the expense relates to meeting program goals and objectives;
 - b. Explain differences in fares among travelers on the same routes (e.g., project staff member traveling for three weeks whose fare is higher than that of staff member traveling for four months);
 - c. Explain why the number of participants traveling to a program event is different than the number of participants in the program (e.g., fewer participants are traveling to the workshop because they reside in the same location where the workshop will be held);
 - d. Elaborate on staff salaries and benefits, as warranted. For example, if a program is multi-year, explain any changes in staffing patterns from one year to the next.
- l. **Monitoring and Evaluation Plan** (word document separate from the proposal but part of the application) detailing how the project's impact and effectiveness will be monitored and evaluated throughout the project.
- m. **Attachments may be included** (letters of commitment from the applicant institution and sub-award partners, CVs of key personnel, project experience, sample agendas, etc.) but should not be unreasonably lengthy; see NOFO for details on required attachments, if any.

- n. **NICRA: If your organization has a negotiated indirect cost rate agreement (NICRA)** and includes NICRA charges in the budget, include your latest NICRA as a pdf file.
- o. **Audit:** A PDF file copy of your organization's most recent A-133 audit.
- p. **Please Number all pages**, including budget and addenda.

Applicants under consideration for an award will likely be subject to a pre-award survey to determine fiscal responsibility and ensure adequacy of financial controls. This survey contains a list of criteria for determining whether the applicant's accounting system meets the minimum standards to be eligible for U.S. government funding. These standards include appropriate accounting software and written financial management policies and accounting procedures. The pre-award survey will involve assessing the extent to which these are in place within an organization and being actively implemented.

D.3. Unique Entity Identifier (UEI) and System for Award Management (sam.gov)

The Unique Entity Identifier (UEI) is one of the data elements mandated by Public Law 109-282, the Federal Funding Accountability and Transparency Act (FFATA), for all Federal awards. www.sam.gov is the Federal government's primary database for complying with FFATA reporting requirements. OMB designated www.sam.gov as the central repository to facilitate applicant and recipient use of a single public website that consolidates data on all federal financial assistance. Under the law, it is mandatory to obtain a UEI number and register in sam.gov **before submitting an application**. ISN/ECC may **not** review applications from or make awards to applicants that have not completed all applicable UEI and SAM.gov requirements.

The 2 CFR 25 requires that sub-grantees obtain a UEI number. Please note the UEI for sub-grantees is not required at the time of application but will be required before the award is processed and/or directed to a sub-grantee. UEI is assigned by sam.gov assigned to organizations that have to register/or renew their sam.gov registration.

Note: The process of obtaining a sam.gov registration may take anywhere from 4-8 weeks. Please begin your registration as early as possible. Numerous errors require correction, such as an address mismatch, and can delay final registration. If the application is not corrected within 90 calendar days of original registration/or renewal submission, it will be automatically deleted and the organization will need to re-start the process.

- Organizations **based in the United States** or that pay employees within the United States will need an Employer Identification Number (EIN) from the Internal Revenue Service (IRS). A Commercial and Government Entity (CAGE) code and a UEI number are issued through SAM.gov. Once received continue with the remainder of the SAM.gov registration.
- Organizations **based outside of the United States** and do not pay employees within the United States do not need an EIN from the IRS, but do need a UEI number prior to registering in sam.gov. All organizations applying for grants (except individuals) must obtain these registrations.

These registrations are free of charge:

- NCAGE/CAGE code (if applicable)
- www.sam.gov UEI and registration

If you are an organization based outside the U.S. and DO NOT plan to do business with the Department of Defense:

Step 1: Proceed to SAM.gov to obtain a UEI and complete the registration.

If you are an organization based outside the U.S. and plan to do business with the Department of Defense:

Step 1: Apply for an NCAGE number

NCAGE Homepage:

<https://eportal.nspa.nato.int/AC135Public/sc/CageList.aspx>

NCAGE Code Request Tool (NCRT):

<https://eportal.nspa.nato.int/Codification/CageTool/home>

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

Step 2: After receiving the NCAGE Code, proceed to SAM.gov to obtain a UEI and complete registration.

All prime organizations must also continue to maintain active SAM.gov registration with current information at all times during which they have an active Federal award or application under consideration by a Federal award agency. SAM.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM. It is the responsibility of the applicant to ensure it has an active registration in SAM.gov and to maintain that active registration. If an applicant has not fully complied with the requirements at the time of application, the applicant may be deemed technically ineligible to receive an award and use that determination as a basis for making an award to another applicant.

Note: SAM.gov is not the same as MyGrants. It is free to register in both systems, but the registration processes are different.

Information is included on the SAM.gov website to help international registrations: Please note, guidance on SAM.gov and the guidance on GSA's website about requirement for registering in SAM.gov is subject to change and currently being updated. Applicants should review the website frequently for the most up-to-date guidance.

The attached "UEI and SAM.gov FAQ updated 021623" is a resource of unofficial tips provided by the Department of State grants policy office. Any content shown from SAM.gov is not owned by the Department of State. This guidance and instruction are to the best of our knowledge based at the time of posting this solicitation. Where guidance in this attachments differs from the SAM.gov website, SAM.gov prevails and the applicant is encouraged to seek and document clarity provided by the SAM.gov helpdesk.

D.3.1 Exemptions

An exemption from these requirements may be permitted under the following circumstances:

- Recipient is a foreign organization receiving an award that will be performed outside the United States valued at less than \$25,000, if the Grants Officer deems it to be impractical for the entity to obtain a UEI or register in SAM.gov.
- The recipient is an overseas school and does not currently have a UEI number.
- If State Department determines it is necessary for a foreign policy or national security matter.

- The recipient's identity must be protected due to possible endangerment of their mission, their organization's status, their employees, or the beneficiary being served by the recipient.
- There are exigent circumstances that prohibit the recipient from receiving a UEI and completing SAM registration prior to receiving the award. These circumstances are identified in the justification below and the recipient will be required to register within 30 days of the award date in accordance with 2 CFR 25.

Organizations requesting exemption from UEI or sam.gov requirements must email the point of contact listed in the NOFO at least **two weeks prior to the deadline in the NOFO providing a justification of their request**. Approval for a SAM.gov exemption must come from the warranted Grants Officer before the application can be deemed eligible for review.

D.4. Submission Dates and Times

Applications are due no later than 11:59 PM Eastern Standard Time (EST), on 19, April 2024 on [MyGrants](https://mygrants.gov) under the announcement title "Strategic Trade Control Capacity in East/Southeast Asia," funding opportunity number "DFOP0009162."

Faxed, couriered, grants.gov submissions, or emailed documents will not be accepted. Reasonable accommodations may, in appropriate circumstances, be provided to applicants with disabilities or for security reasons.

It is the responsibility of the applicant to ensure that it has an active registration in grants.gov to apply in [MyGrants](https://mygrants.gov) and that an application has been received by the system in its entirety. [MyGrants](https://mygrants.gov) automatically log the

date and time an application submission is made, and the Department of State will use this information to determine whether an application has been submitted on time. Late applications are neither reviewed nor considered. Applicants should not expect a notification upon ISN/ECC receiving their application.

ISN/ECC bears no responsibility for disqualification that results from applicants not being registered before the due date, for registrations errors in either system, or other errors in the application process.

D.5. Funding Limitations, Restrictions, and Other Considerations

ISN/ECC will not consider applications that reflect any type of support for any member, affiliate, or representative of a designated terrorist organization. Please refer the link for Foreign Terrorist

Organizations: <https://www.state.gov/foreign-terrorist-organizations/>.

Consistent with Department guidance on State Funding and the Risks of Terrorist Financing, for all State Department funded programs and requirements, Department bureaus must assess the likelihood that the funds or Department funded activities, goods, services, training, expert advice or assistance, or other benefits to be provided, could inadvertently or incidentally benefit terrorist organizations or their members or supporters, and put in place appropriate risk mitigation measures to mitigate such risk. In accordance with 14 FAM 247, and consistent with the 2 FAM 050, Counterterrorism (CT) name-check vetting may be performed in countries and programs designated by the Department.

Project activities whose direct beneficiaries are foreign militaries or paramilitary groups or individuals will not be considered for ISN/ECC funding given purpose limitations on funding.

The Leahy Law prohibits Department foreign assistance funds from supporting foreign security force units if the Secretary of State has credible information that the unit has committed a gross violation of human rights. Per [22 USC §2378d\(a\) \(2017\)](#), “No assistance shall be furnished under this chapter [FOREIGN ASSISTANCE] or the Arms Export Control Act [22 USC 2751 et seq.] to any unit of the security forces of a foreign country if the Secretary of State has credible information that such unit has committed a gross violation of human rights.” Restrictions may apply to any proposed assistance to police or other law enforcement. Among these, pursuant to section 620M of the Foreign Assistance Act of 1961, as amended (FAA), no assistance provided through this funding opportunity may be furnished to any unit of the security forces of a foreign country when there is credible information that such unit has committed a gross violation of human rights. In accordance with the requirements of section 620M of the FAA, also known as the Leahy law, project beneficiaries or participants from a foreign government’s security forces may need to be vetted by the Department before the provision of any assistance. If a proposed grant or cooperative agreement will provide assistance to foreign security forces or personnel, compliance with the Leahy Law is required.

U.S. foreign assistance for Burma or Burmese beneficiaries is subject to restrictions. This includes restrictions, pursuant to section 7043(a)(3) of the Department of State, Foreign Operations, and Related Programs Appropriations Act, 2020 (Div. G, P.L. 116-94)(SFOAA), on funds appropriated under title III of the act for assistance for Burma. Section 7043(a)(3) provides that such funds “may not be made available to any organization or entity controlled by the armed forces of Burma, or to any individual or organization that advocates violence against ethnic or religious groups or individuals in Burma, as determined by the Secretary of State.” In

addition, funds cannot be made available to any individual or organization that has committed serious human rights abuse.

The Department has a legal requirement, established by section 861 of the National Defense Authorization Act for Fiscal Year 2008 and implemented through subsequent regulations, to report and account for all contractors working under grants or cooperative agreements in contingency operations outside the United States that involve combat operations. The common database to collect this information, called the Synchronized Predeployment Operational Tracker (SPOT), is managed by the Department of Defense. A Department SPOT Program Manager, based in A/OPE/AQM/BOD (AQMops@state.gov) generally enters information provided by the recipients directly into the SPOT system.

Currently the Department applies this requirement to awards operating in Iraq or Afghanistan.

The following activities and costs are not covered under this announcement (this list is NOT exhaustive):

- Construction or renovations is not an allowable activity under this award;
- Projects intended primarily for the growth or institutional development of the applicant organization;
- Projects seeking funds for personal use;
- Administration of a project that will make a profit;
- Expenses incurred before or after the specified dates of award period of performance (unless prior written approval is received);
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction;
- Alcoholic beverages;

- Costs of entertainment, including amusement, diversion, and social activities, and any associated costs, are unallowable, except where specific costs that might otherwise be considered entertainment have a programmatic purpose and are authorized either in the approved budget for the federal award or with prior written approval of the Grants Officer.

Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction: In accordance with section 7073 of Division K of the Consolidated Appropriations Act, 2014 (Public Law 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

- (1) Was “convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or
- (2) Has any “unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government.”

For the purposes of Section 7073, it is the Department of State’s policy that no award may be made to any organization covered by (1) or (2) above, unless the Procurement Executive has made a written determination that suspension or debarment is not necessary to protect the interests of the U.S. Government.

Organizations should be cognizant of these restrictions when developing project proposals. Funding restrictions will require appropriate due diligence of program beneficiaries and collaboration with ISN/ECC to ensure compliance with these restrictions. Program beneficiaries subject to due diligence vetting will include any individuals or entities that are beneficiaries of foreign assistance funding or support. Due diligence vetting will include a review of open-source materials.

SECTION E: APPLICATION REVIEW INFORMATION

E1. Proposal Review Criteria

ISN/ECC review panel will evaluate each application individually against the following criteria, listed below in order of importance, and not against competing applications. Please use the below criteria as a reference, but **do not structure your application according to the sub-sections**.

Applications should contain the applicant's best terms from both cost and technical standpoints. The implementing partners (sub-recipients) of the primary Recipient will be subject to Department of State approval.

Quality and Feasibility of Project Idea (30 points)

The program idea is well developed and responsive to the policy and program objective of the NOFO. The applicant describes the project's potential contribution to solving the problem addressed in the problem statement. The application clearly defines the problem; its causes;

stakeholders; and existing research/data; the approach taken to solve the problem; realistic milestones to indicate progress.

Organizational Capacity and Record of Performance (20 points):

The applicant demonstrates an institutional record of successful projects in the content area proposed. The applicant demonstrates experience (e.g., has previously worked and/or has established contacts/partners) in the proposed country/territory/region. The organization has expertise in its stated field and has adequate staffing to manage the proposed project. The applicant demonstrates capacity for responsible fiscal management of donor funding (e.g., successful management of a previous grant or sub-award).

Program Planning/Ability to Achieve Objectives (20 points)

Goals and objectives are clearly stated and project approach is likely to provide maximum impact in achieving the proposed results. The applicant proposes activities that are feasible, and are also practical, and/or experiential in nature to encourage innovation. The applicant addresses how the project will engage or obtain support from relevant stakeholders and/or identifies local partners. Program logic is sound showing plausible pathways to achieve project outcomes. Key assumptions and risks have been identified and their potential influences described. The applicant acknowledges if activities similar to those proposed are already taking or have taken place previously, and provides an explanation as to how proposed new activities will not duplicate or merely add to existing/recent activities.

Financial Capacity and Cost Effectiveness (15 points):

The budget justification is detailed, accounting for all necessary expenses to achieve proposed activities. Costs are reasonable in relation to the

proposed activities and anticipated results and provide detail of calculations, including estimation methods, quantities, unit costs, labor in-put and responsibilities, procurement practice and policy information, and other similar quantitative detail. Applications that maximize direct activity costs and minimize administrative costs are encouraged. **Final approval of the budget resides with the Grants Officer.**

Monitoring & Evaluating and Sustainability (15 points):

Applicant demonstrates it is able to measure program success against key indicators and provides milestones to indicate progress toward goals outlined in the proposal. The program includes output and outcome indicators and shows how and when those will be measured and who will be responsible for them. The applicant clearly details how activities will result in benefits that will continue beyond the funding period.

E.2. Review and Selection Process

The Department of State is committed to ensuring a competitive and standardized process for awarding funding. Applications will be screened initially in a Technical Eligibility Review stage to determine whether applicants meet the eligibility requirements outlined in section C and have submitted all required documents outlined in section D. Applications that do not meet these requirements will not advance beyond the Technical Eligibility Review stage and will be deemed ineligible for funding under this NOFO.

All applications that are deemed eligible will move forward to the Merit Review Panel consisting of U.S. government subject matter and/or country-specific experts and will be rated on a 100-point scale. ISN/ECC reserves the

right to request the assistance of non-US government Subject Matter Experts (SMEs), if appropriate to the solicitation. Panel Reviewers will determine scores based on the strengths and weaknesses of the aforementioned categories and for consistency with the program goals and objectives outlined in this NOFO. Panel Reviewers' ratings, and any resulting recommendations, are advisory. Panel Reviewers may provide conditions and recommendations on applications to enhance the proposed project, which must be addressed by the applicant before further consideration of the award. To ensure effective use of US Government funds, conditions or recommendations may include requests to increase, decrease, clarify, and/or justify costs and project activities.

ISN/ECC reserves the right to make an award based on the initial application received with or without discussion or negotiations. Therefore, applications should contain the Applicants' best terms from both cost and technical standpoints.

Final selection authority resides with ISN/ECC, subject to successful negotiation and Grants Officer approval of an award. Final award decisions will be influenced by whether the application meets the Department of State's programmatic goals and objectives, how it supports the Department's overarching foreign policy priorities, and the geographic distribution of the top-ranking applications.

E.3. Responsibility/Qualification Information in SAM.gov (formerly FAPIIS)

The Department of State, 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 (formerly FAPIIS) (see 41 U.S.C. 2313).

The applicant, at its option, may review information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through www.sam.gov. Currently, federal agencies create integrity records in the integrity module of the Contractor Performance Assessment and Reporting System (CPARS) and these records are visible as responsibility/qualification records in SAM.gov.

The Department of State 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 §200.205 Federal awarding agency review of risk posed by applicants.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with or support to individuals or organizations associated with terrorism.

- Proposals that reflect any type of support for any member, affiliate, or representative or a designate to terrorist organization or narcotics trafficker, including elected members of government, will NOT be considered. This provision must be included in any sub-awards/sub-contracts issued under this award.
- U.S. Applicant organizations must demonstrate adherence to equal opportunity employment practices and commitment to non-discrimination with respect to beneficiaries. Non-discrimination

includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

- Applicants under DOS-funded projects are responsible for complying with all applicable tax treaties and federal, state, and local laws on tax withholding and reporting for project participants.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

F.1. Federal Award Notices

ISN/ECC will provide a separate notification to applicants on the result of their applications. Successful applicants will receive a letter electronically via email requesting that the applicant respond to review panel conditions and recommendations. This notification is **not** an authorization to begin activities and does not constitute formal approval or a funding commitment.

Final approval is contingent on the applicant successfully responding to the review panel's conditions and recommendations, Congressional Notification requirements, registration in required systems; and completing and providing any additional documentation requested by ISN/ECC or the Department's warranted Grants Officer.

The Grants Officer is the U.S. Government official delegated the authority by the U.S. Department of State, Procurement Executive to write, award, and administer grants and cooperative agreements. The notice of Federal award signed by the Grants Officers is the sole authorizing document. The recipient may only start incurring program expenses beginning on the start date shown on the grant award document signed by the Grants Officer. If awarded, the notice of Federal award will be provided to the applicant's

designated Authorizing Official via [MyGrants](#) to be electronically counter-signed in the system.

Additional information that successful applicants may be required to submit after notification of intent to make a Federal award, but prior to issuance of a Federal award, may include:

- Written responses and any revised application documents addressing any conditions or recommendations from the Review Panel and awarding bureau;
- Completion of the Department's Financial Management Survey, if receiving funding for the first time or requested by the Grants Officer;
- If applicable, submission of required documents to register in the Payment Management System (PMS) managed by the Department of Health and Human Services if receiving funding for the first time. PMS registration is bureau-specific;
- Other requested information or documents included in this funding opportunity or subsequent communications with the recommended applicant prior to issuance of a Federal award.

Pursuant to 2 CFR 200.400(g), it is U.S. Department of State policy **not** to award profit under assistance instruments.

Payments under this award will be made through the U.S. Department of Health and Human Services (HHS) Payment Management System (PMS) or by completing form SF-270—Request for Advance or Reimbursement and submitting the form. Final determination will be made in conjunction with the Grants Officer. Unless otherwise stipulated, the Recipient may request

payments on a reimbursement or advance basis. Instructions for requesting payments via PMS are available at: <https://pms.psc.gov/>. Instructions for requesting payments via SF-270 are available at: [Grants.gov post-award reporting forms](#)

2 CFR §200.501 requires domestic/US non-federal entities that expend \$750,000, or more, in federal assistance during organization's fiscal year to have a single or program-specific audit conducted for that year. In addition, the entity must report the collected audit data elements on the form SF-SAC and submit it to the FAC. Any findings such as material weaknesses, significant deficiencies, or material noncompliance are reported on the SF-SAC.

To maximize the impact and sustainability of the award(s) that result from this NOFO, ISN/ECC retains the right to execute non-competitive continuation amendment(s). The total duration of any award, including potential non-competitive continuation amendments, shall not exceed 54 months, or four and a half years. Any non-competitive continuation is contingent on performance and **pending availability of funds**. A non-competitive continuation is not guaranteed, and the Department of State reserves the right to exercise or not to exercise this option.

F.2. Administrative and National Policy Requirements

ISN/ECC requires all recipients of foreign assistance funding to comply with all applicable Department and Federal laws and regulations, including but not limited to the following:

The Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards set forth in 2 CFR Chapter 200 (Sub-

Chapters A through F) shall apply to all non-Federal entities, except for assistance awards to Individuals and Foreign Public Entities. Sub-Chapters A through E shall apply to all foreign organizations, and Sub-Chapters A through D shall apply to all U.S. and foreign for-profit entities. The applicant/recipient of the award and any sub-recipient under the award must comply with all applicable terms and conditions, in addition to the assurance and certifications made part of the Notice of Award. The Department's Standard Terms and Conditions can be viewed at <https://www.state.gov/about-us-office-of-the-procurement-executive/>.

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:

- The President's September 2, 2020 memorandum, entitled *Memorandum on Reviewing Funding to State and Local Government Recipients of Federal Funds that Are Permitting Anarchy, Violence, and Destruction in American Cities*;
- *Executive Order on Protecting American Monuments, Memorials, and Statues and Combating Recent Criminal Violence* (E.O. 13933); and
- [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).

Due to the determination made under the Trafficking Victims Protection Act (TVPA) for FY 2022, assistance that benefits the governments of the following countries may be subject to a restriction under the TVPA. The Department of State determines on a case-by-case basis what constitutes assistance to a government; the general principles listed below apply.

Assistance to the government includes:

- All branches of government (executive, legislative, judicial) at all levels (national, regional, local);
- Public schools, universities, hospitals, and state-owned enterprises, as well as government employees;
- Training, equipment, services, or other assistance provided directly to the government, assistance provided to an NGO or other implementer for the benefit of the government, and assistance to government employees.

Subject to TVPA for funds obligated during FY 2024:

AF: Eritrea, Guinea-Bissau, South Sudan

EAP: Burma, China (PRC), Malaysia, North Korea

EUR: Belarus, Russia

NEA: Iran, Syria

SCA: Afghanistan

WHA: Cuba, Curacao, Nicaragua, Sint Maarten

Additional requirements may be included depending on the content of the program.

F.3. Reporting

Reporting is critical to effective program management and oversight. Reports are required as a means of evaluating the recipient's progress and utilization of resources. They are divided between a performance progress report and a financial status report. Applicants should be aware that ISN/ECC awards will require that all reports (financial and progress) are uploaded to the grant file in [MyGrants](#) on a quarterly basis.

Financial Reports

The Recipient will be required to submit quarterly financial reports (unless stipulated otherwise in the final Agreement) throughout the project period, using form SF-425, the Federal Financial Report form. If payment is made through the Payment Management System, all financial reports must be submitted electronically through the Payment Management System. The Recipient will also be required to upload to [MyGrants](#) a pdf version of all financial reports (Federal Financial report) they have submitted in the Payment Management System. Form (SF-425) can be found here: [Grants.gov post-award reporting forms](#)

Program Reporting

The Recipient will be required to submit quarterly narrative progress reports (unless stipulated otherwise in the final Agreement) throughout the project period to the award file in [MyGrants](#).

Narrative progress reports should reflect continued focus on measuring the project's progress in achieving the overarching. Explain and evaluate how activities reflect progress toward expected outcome and outcomes towards achieving objectives. In addition, attach the M&E Tracker, comparing the

target and actual numbers for the indicators. Reports should also include an update on expenditures during the quarter. Where relevant, progress reports should also include the following:

- Relevant contextual information (limited);
- Any tangible impact or success stories from the project, when possible;
- Copy of mid-term and/or final evaluation report(s) conducted by an external evaluator; if applicable;
- Relevant supporting documentation or products related to the project activities (such as articles, meeting lists and agendas, participant surveys, photos, manuals, etc.) as separate attachments;
- Description of how the recipient is pursuing sustainability, including looking for sources of follow-on funding;
- Any problems/challenges in implementing the project and corrective action plan with an updated timeline of activities;
- Reasons why activities have not been conducted or deliverables were not met in accordance with the timeline;
- Proposed activities for the next quarter; and,
- Additional pertinent information, including analysis and explanation of cost overruns or high unit costs, if applicable.

Reporting Calendar by Fiscal Year

Q1 (October -December) due January 30;

Q2 (January-March) due April 30;

Q3 (April-June) due July 30; and

Q4 (July-September) due October 30

Final Reporting

Final financial and progress reports will be due no later than 120 calendar days after the end date of the award. The Final Progress Report shall include the following elements: executive summary, successes, outcomes, best practices, how the project addresses gender issues and marginalized communities, how the project will be sustained. Additional guidance may be provided prior to the award end date.

NOTE: Delays in reporting may result in delays of payment approvals and failure to provide required reports may jeopardize the recipients' ability to receive future U.S. government funds. ISN/ECC reserves the right to request any additional programmatic and/or financial project information during the award period of performance.

It is the Department of State policy that English is the official language of all award documents. If reports or any other supporting documents are provided in both English and a foreign language, it must be stated in each version that the English language version is the controlling version. U.S. dollar is the controlling currency. Financial reports must be submitted in U.S. dollars.

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](#).

The Foreign Assistance Data Review (FADR)

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). FADR requires tracking of foreign assistance activity data from budgeting, planning, and allocation

through obligation and disbursement. Geographical and program area information is now coded within the subaccount/award number. Recipients 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 country, the Recipient will be required to maintain separate accounting records and request expenses to each account separately.

SECTION G: FEDERAL AWARDING AGENCY CONTACT

G.1. Contacts

For technical submission questions related to this NOFO, please contact ECC_Grants@state.gov

For assistance with MyGrants accounts and technical issues related to the system, please contact the ILMS help desk by phone at +1 (888) 313-4567 (toll charges apply for international callers) or through the Self Service online portal that can be accessed from [ILMS Self-Service Portal](#). Customer support is available 24/7.

For assistance with Grants.gov accounts and technical issues related to using the system, please call the Contact Center at +1 (800) 518-4726 or email support@grants.gov. The Contact Center is available 24 hours a day, seven days a week, except federal holidays.

For a list of federal holidays visit:

<https://www.opm.gov/policy-data-oversight/pay-leave/federal-holidays/>

Except for technical submission questions, during the NOFO period U.S. Department of State staff shall not discuss this competition with applicants until the entire proposal review process has been completed and any rejection and approval letters have been transmitted.

G.2. Question Submission Deadline

To maintain fairness and transparency in competition, ISN/ECC will not answer questions related to proposal concept or design. All questions must be submitted via email to contact listed in G.1. by 11:59 PM EST on 22, March 2027. ISN/ECC will create a document of submitted questions with answers and post it in [MyGrants](#) & [Grants.gov](#). Questions and answers will be posted within 24-48 hours from the date of receipt. Prospective applicants are advised to regularly review the announcement page in [grants.gov](#) for any updates.

Explanatory information provided by any ISN/ECC representative that contradicts this NOFO will not be binding. 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.

SECTION H: OTHER INFORMATION

The information in this NOFO is binding and may not be modified by any ISN/ECC representative. Explanatory information provided by ISN/ECC that contradicts this language will not be binding. 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.

H.1. Conflict of Interest

In accordance with 2 CFR 200.113, applicants must disclose in writing any potential conflict of interest to the Federal awarding agency or pass-through entity.

H.2. Freedom of Information Act

Applicants should be aware that ISN/ECC understands that some information contained in applications may be considered sensitive or proprietary and will make appropriate efforts to protect such information. However, applicants are advised that ISN/ECC cannot guarantee that such information will not be disclosed, including pursuant to the Freedom of Information Act (FOIA) or other similar statutes.

H.3. Marking Policy

Applicants are advised that recipients and sub-recipients of Federal assistance awards are subject to the State Department's Marking Policy. More information on this policy can be found in Section N of the [Department of State Standard Terms and Conditions](#).

H.4. Evaluation Policy

Applicants are advised that recipients and sub-recipients of Federal assistance awards are subject to the Department of State Evaluation Policy. More information on this policy can be found here: [Department of State Managing for Results](#).

H.5. Monitoring Site Visits

A monitoring site visit, at least once during the lifetime of an award, may be conducted by Department of State personnel. The site visit is conducted to gather additional information on the recipient's ability to properly implement the project, manage DOS funds and share substantiating document for programmatic and financial reporting. Specifically, the site visit may involve the review of the programmatic progress (progress on activities, sub-recipient/consultant work, etc.) as well as administrative and financial management controls. This may include observing classroom modules virtually or in person and visit applicant's headquarters and regional offices to observe operations.

H.6. Privacy Disclosure

DOS understands that some information contained in applications may be considered sensitive or proprietary and will make appropriate efforts to protect such information. However, applicants are advised that DOS cannot guarantee that such information will not be disclosed, including pursuant to the Freedom of Information Act (FOIA) or other similar statutes.

H.7. Mandatory disclosures (2 CFR 200.113)

Non-federal entity, applicant or applicant for a federal award must disclose, in a timely manner, in writing to the federal awarding agency or pass-through entity all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Non-federal entities that have received a Federal award including the term and condition outlined in Appendix XII of the 2 CFR 200—Award Terms and Conditions for Recipient Integrity and Performance Matters -- are required to report

certain civil, criminal, or administrative proceedings to www.sam.gov . Failure to make required disclosures can result in any of the remedies described in §200.338 Remedies for Noncompliance, including suspension or debarment.

H.8. Background Information on ISN/ECC

The Export Control and Related Border Security (EXBS) program seeks to prevent the proliferation of weapons of mass destruction and destabilizing accumulations and irresponsible transfers of conventional weapons by building effective national strategic trade control systems in countries that possess, produce, or supply strategic items, as well as in countries through which such items are most likely to transit.

Additional background information on ISN/ECC and its efforts can be found on <https://www.state.gov/export-control-and-related-border-security-program/>