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 and Iranian WMD, Missile, and UAS Proliferation
Funding Opportunity Number: SFOP0010102
Deadline for Applications: January 31, 2024, 11:59PM EDT
Assistance Listing Number: 19.033
Total Amount Available: $12,000,000

A. PROGRAM DESCRIPTION

The Department of State's Bureau of International Security and Nonproliferation, 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 sponsors foreign assistance activities funded by the Nonproliferation, Antiterrorism, Demining and Related Programs (NADR) and other accounts, and focuses on mitigating weapons of mass destruction (WMD) and WMD-related delivery systems proliferation and security threats from non-state actors and proliferator states. An underlying aim of all ISN/CTR's efforts is long-term sustainability to maximize programmatic impact while minimizing the need for foreign partners to rely on outside financial or technical assistance.

While the United States continues to seek negotiations with the Democratic People's Republic of Korea (DPRK) to reach the denuclearization of the Korean Peninsula, it maintains the policy that international pressure and sanctions must remain in force until the DPRK fully denuclearizes. ISN/CTR supports the pressure campaign against the DPRK by training partners to implement United Nations Security Council Resolutions (UNSCRs) constraining the DPRK's weapons of mass destruction (WMD) proliferation, to detect and halt DPRK-linked sanctions evasion activities, and to impede the DPRK's material and financial activities that fund the development of WMD and related delivery systems. ISN/CTR achieves this mission through capacity-building programs, open-source research, and other specialized efforts, all of which help at-risk countries detect and shut down financial and material flows to the DPRK. This NOFO solicits proposals aimed at curtailing DPRK revenue generation activities, restricting the flow of refined petroleum to the DPRK to remain under the annual UNSCR-mandated cap, and improving broader implementation on DPRK sectoral sanctions.

Iran continues to develop and produce ballistic missiles (BMs) that directly threaten the United States, our partners and allies, and enable its destabilizing activities in the region. Iran continues to supply advanced unmanned aerial systems (UAS) to Russia in support of Moscow's invasion of Ukraine, and supplies versions of those UAS to its regional proxies. Both programs rely on materials and technologies produced outside Iran. Iran's procurements include components that are not covered by international trade controls, and they require both the movement of physical goods into Iran and transactions through foreign financial institutions. This NOFO solicits proposals specifically aimed at countering the development of, and the advancements in, Iran's ballistic missile and UAS programs by disrupting Iranian acquisition of proliferation sensitive technologies, materials, and expertise, and at improving international adherence to relevant U.S. and other sanctions. Importantly, this NOFO is not soliciting proposals seeking to disrupt Russian imports of UAS or components. Such proposals should be submitted to SFOP0010114, Supporting Partner Implementation of Russia Sanctions.

FY24 Objectives

As part of the U.S. government's effort to use all available tools to ensure maximum compliance with international sanctions on the DPRK and Iran, ISN/CTR trains key public and private stakeholders to understand their obligations and take measures to fully implement relevant sanctions on those states. ISN/CTR does not support activities related to the training, engagement, or redirection of DPRK or Iranian nationals or government or non-government agencies in those two countries.

Priority Regions: ISN/CTR's UN Sanctions Compliance program prioritizes capacity-building efforts for countries that face a range of DPRK and Iranian 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 in 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.

Where in previous fiscal years ISN/CTR solicited proposals through two separate NOFOs, the awarding office determined that a single NOFO covering both threat actors may enable and encourage the preparation of proposals addressing commonalities in sanctions evasion typologies employed by the DPRK and Iran and the need to, when appropriate, conduct engagements addressing both countries (e.g. enhancing partner capacity to implement Financial Action Task Force Recommendations pertaining to the proliferation of WMD, etc.).

ISN/CTR seeks proposals that address the following DPRK and Iranian sanctions evasion activities:

1. **Cybersecurity**

The DPRK conducts cyber operations against virtual asset entities (VAEs), banks, and other vulnerable institutions to generate revenue for its WMD program: The DPRK generates substantial revenue for its WMD programs through widespread and increasingly sophisticated cyber operations against vulnerable institutions worldwide. DPRK cyber actors have committed dozens of cyber-enabled thefts targeting cryptocurrency exchanges, decentralized financial applications, and other VAEs such as blockchain-based games and casinos operating in dozens of countries across all State Department regions. Ransomware is increasingly leveraged by DPRK cyber actors to extort vulnerable organizations, including hospitals and critical infrastructure, for cryptocurrency payments. ISN/CTR seeks proposals that engage VAEs, private financial institutions (FIs), and other industries vulnerable to DPRK cyber operations to reduce the risk of DPRK cyber-enabled thefts, including but not limited to:

- Training technical and non-technical staff at VAEs, FIs, and other likely targets of DPRK cyber activity to prevent DPRK cyber-revenue generation by identifying common social engineering techniques such as phishing attacks and adopting enhanced cybersecurity measures, including basic cyber hygiene practices;
- Training government officials to promote the implementation of effective cybersecurity practices at VAEs and FIs to counter DPRK-linked efforts, including public-private information sharing on cyber threats and designing effective cyber incident response plans;
- Imparting to relevant law enforcement officials the knowledge and tools necessary to successfully investigate malware and other cyber-attacks for links to DPRK activity and how to best report attribution;
- Engagements with management representatives of VAEs and FIs to encourage them to dedicate resources to counter DPRK cyber-theft; and
- Ensuring that decision-makers at vulnerable institutions understand the risks associated with transacting with DPRK-linked cyber actors, i.e., making ransomware payments.

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in descending order of priority: East Asia and Pacific (EAP), Europe and Eurasia (EUR), Sub-Saharan Africa (AF), South and Central Asia (SCA), Middle East/North Africa (NEA), and Western Hemisphere (WHA).

2. Counter-Proliferation Finance

The DPRK and Iran use networks of shell companies and foreign representatives to launder money through foreign banks and, in the case of the DPRK, cryptocurrency exchanges, to fund their sanctioned weapons programs: ISN/CTR seeks proposals that will enhance the abilities of partner governments and the private sector to identify, report, and disrupt DPRK or Iranian proliferation finance activities, including but not limited to:

- Training government entities such as financial intelligence units and law enforcement to identify proliferation finance activity, trace DPRK cryptocurrency activities, respond to mutual legal assistance and other action requests from foreign partners, and prosecute DPRK or Iranian sanctions evasion activities as well as relevant ancillary crimes;
- Training supervisors and other relevant government officials to ensure that effective counterproliferation finance controls to counter the DPRK and Iran are

adopted at traditional financial institutions, cryptocurrency exchanges, and designated non-financial businesses and professions operating in their jurisdictions;

- Building the capabilities of anti-money laundering officials to implement targeted financial sanctions and conduct proliferation finance risk assessments consistent with Financial Action Task Force recommendations;
- Supporting critical foreign partners in developing, drafting, refining, and implementing domestic sanctions implementation and counterproliferation finance legislation and regulations, including those treating VAEs and virtual assets;
- Enhancing the ability of judicial officials to try proliferation finance and sanctions evasion cases involving DPRK and Iranian-linked entities; and
- Ensuring financial institutions, Designated Non-Financial Businesses and Professions, cryptocurrency exchanges, and other relevant private sector stakeholders comply with U.S. and international sanctions pertaining to the DPRK and Iran by conducting enhanced due diligence to identify suspicious entities seeking to evade sanctions and report suspicious transactions.

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in descending order of priority: East Asia and Pacific (EAP), Middle East/North Africa (NEA), Europe and Eurasia (EUR), Sub-Saharan Africa (AF), Western Hemisphere (WHA), and South and Central Asia (SCA).

3. Maritime Sanctions Implementation

The DPRK exploits ship registries to evade UN sanctions on maritime commerce and to generate revenue for the development of WMD: DPRK-linked entities, including trading partners, evade sanctions by using falsified documents to register vessels, disabling ships' identification/location transponders to conduct dark voyages, registry-hopping to evade enforcement action, and exploiting the sometimes-relaxed documentary requirements for "provisional" registration of commercial vessels. Registries with lax enforcement mechanisms fail to identify, deregister, and report DPRK-linked vessels. ISN/CTR seeks proposals that enhance the ability and motivation of ship registries to detect and halt DPRK sanctions evasion, including but not limited to:

- Training publicly and privately-operated ship registries to conduct proper due diligence to identify, deregister, and report DPRK-linked vessels already on, or applying to, their respective registries; Trainings in both bilateral and multilateral settings to help standardize rigorous compliance practices, as well as trainings that find creative opportunities to reach DPRK-linked registries ISN/CTR has not yet engaged;
- Assisting countries to conduct audits of their ship registries and deregister DPRK-linked vessels, including training maritime administration staff to conduct their own audits;
- Helping countries to develop stronger registry oversight measures, including requirements for beneficial ownership information and best practices to identify whether ships have been physically altered to avoid sanctions evasion detection or

have undertaken suspicious activities at sea such as turning off AIS and loitering in known ship-to-ship transfer zones;

- Encouraging and training ship registry personnel, when deregistering or denying DPRK-linked applications, to comply with information-sharing and reporting agreements with other ship registries, the UN, the United States, and the wider maritime community;
- Engaging the International Maritime Organization (IMO) secretariat and/or IMO member states on improving resources for DPRK-related sanctions compliance in international databases;
- Engaging countries that outsource ship registry management to a private entity how best to design their ship registry management contract, conduct oversight of the private entity, and ensure sanctions compliance.

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in descending order of priority: Sub-Saharan Africa (AF), Western Hemisphere (WHA), East Asia and Pacific (EAP), and Europe and Eurasia (EUR).

The DPRK uses ship-to-ship transfers to export coal and import refined petroleum in violation of UN sanctions: Despite robust UNSCR and U.S. sanctions, the DPRK 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 seeks proposals that enable, motivate, and incentivize global commodity trading, supplier, and brokering companies, financial institutions, insurers, shipping industry associations, ship owners, operators, and charterers, shipyard owners, port managers, classification societies, vessel captains and crewing companies, and other commercial stakeholders to proactively identify and report clients that facilitate potential DPRK-linked ship-to-ship transfers. CTR also seeks to engage policy and law enforcement stakeholders to generate interest and motivation to investigate commodity smuggling networks through activities such as:

- Training law enforcement agencies on DPRK-linked smuggling networks involved in the illicit transfer of coal and oil in East and Southeast Asia and how to investigate these networks;
- Building private sector capabilities to identify and report DPRK oil and coal shipping activities, ship-to-ship transfers, and attempts to obtain access to additional vessels;
- Training port authorities on proper sanctions compliance and vessel inspection practices, with the aim to prevent the sale or transfer of sanctioned or missile-related, proliferation-sensitive technology;
- Training larger private sector institutions to adopt and standardize advanced due diligence practices, as documented in numerous U.S. Government advisories, in their respective sectors and to showcase this work to smaller institutions with weaker compliance systems;
- Workshops that continue to facilitate information sharing and coordination across all sectors and stakeholders involved in the oil/coal supply chain for potential links to DPRK-associated activities.

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in order of priority: East Asia and Pacific (EAP), South and Central Asia (SCA), and Europe and Eurasia (EUR).

4. **Proliferation-Sensitive Transfers**

Transfer of Ballistic Missile and UAS-Related Technology and Materials: Iran seeks to import proliferation-sensitive, dual-use technologies and certain high-quality raw materials, with the goal of indigenizing its ballistic missile production and producing UAS. The DPRK is also, to an extent, reliant on foreign sources of commodities and technology for its WMD and ballistic missile programs. Both countries rely on trusted procurement agents and networks to obfuscate their procurement activities.

ISN/CTR is seeking proposals that undertake the following activities:

- Engage relevant technology manufacturers, distributors, and developers on public-private sector cooperation, information sharing, Know-Your-Customer (KYC) best practices, suspicious transaction reporting, and characteristics of sanctions evasion techniques that Iran or the DPRK is using to procure components and advance its UAS and ballistic missile production capabilities; and
- Assist partner country governments in raising awareness of U.S. and international sanctions concerning Iranian procurements of ballistic missile and UAS technologies and components, DPRK ballistic missile and WMD-applicable technologies and components;

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in descending order of priority: East Asia and Pacific (EAP), Europe and Eurasia (EUR), Middle East/North Africa (NEA), and South and Central Asia (SCA).

5. **DPRK Sectoral Sanctions**

DPRK overseas laborers generate revenue which is used to develop WMD and missile systems in violation of UNSCRs: DPRK laborers continue to work outside the country for its exclusive financial benefit despite the obligation of all UN Member States to repatriate them in compliance with UNSCR 2397 (2017). Information technology, building and public arts construction, and putative medical services are the highest-earning and most common fields in which tens of thousands of DPRK nationals work. ISN/CTR seeks proposals for engaging government bodies, prosecutors, private sector employers, and other relevant audiences to continue implementing 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 collaboration to identify and expel DPRK nationals working abroad on behalf of the DPRK, including those whose nationality has been obscured or falsified, or whose visa types have been fraudulently changed to evade deportation;

- Drawing from the 2022 U.S. Government IT workers advisory, training relevant private sector firms on identifying DPRK IT workers attempting to gain employment or conduct other financial transactions as a part of revenue generation activities;
- Raising awareness among government and media leaders about financial, health, public safety, network security, and further risks associated with employing DPRK laborers, including putative health, public arts, and information technology professionals;
- Working with prosecutors to develop new approaches to disrupt DPRK laborers working abroad on behalf of the DPRK 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 to identify DPRK nationals working abroad on behalf of the DPRK in partner countries' territories.

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in descending order of priority: East Asia and Pacific (EAP), Sub-Saharan Africa (AF), and South and Central Asia (SCA).). Other countries or regions will be considered if a strong nonproliferation and threat reduction justification is supplied.

The DPRK is exporting and importing sanctioned commodities in violation of UNSCR sanctions: The DPRK is exploiting inconsistent implementation of international sanctions to continue its trade in UNSC-prohibited commodities, including the sale of such goods as coal, seafood, and military equipment and the importation 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 the DPRK'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 the DPRK or prosecute entities operating on its behalf;
- 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;
- 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 FY24, 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) and Europe and Eurasia (EUR).

DPRK nationals, including diplomats, travel abroad and engage in commerce to generate revenue for the regime and its WMD and missile programs in violation of UNSCRs: DPRK nationals engage in UN and U.S.-sanctioned commercial activities to generate revenue for the regime and its key domestic constituencies. This includes DPRK diplomats who use the diplomatic pouch to smuggle illicit goods including, but not limited to, drugs, weapons, cash, luxury items (including gold and cigarettes), 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 DPRK diplomats abroad, including inspecting baggage that may abuse diplomatic pouch immunity;
- Training foreign financial institutions to spot red-flag indicators of sanctioned commercial activities being conducted from DPRK embassies through foreign financial institutions; and
- Ensuring partners understand and work to halt the criminal activities of DPRK government officials traveling abroad, including those abusing diplomatic privileges and immunities.

For FY24, ISN/CTR's priority countries for this line of effort lie principally in the regions of 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.

6. Open-Source Research

Open-source information on continually evolving sanctions evasion is key to informing 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 informing our targeted capacity building efforts and providing unclassified information to foreign governments to make them aware of, and assist their investigations into, DPRK sanctions-evasion activity.

Iran operates a diverse procurement network involving procurement agents, brokers, and front companies, exploits the international financial system, and utilizes vessels and aircraft to move the raw and manufactured materials, items, and commodities it acquires to Iran in support of its ballistic missile and UAS programs. ISN/CTR seeks proposals to identify and provide in-depth insight into these activities, as well as to provide quick-turn, actionable, unclassified data for capacity-building purposes in response to ISN/CTR requests. ISN/CTR also seeks proposals that identify and map ownership networks, structures, and personnel involved with known or suspected front companies and procurement activities for the Iranian Revolutionary Guard Corps (IRGC).

ISN/CTR is interested in deliverables that provide immediate, actionable information on specific entities or activities to this end, and that serve as case studies to be included in capacity-building programming. ISN/CTR does not seek to build an in-house open-source analytical capability and does not seek to fund the development of new analytical tools, nor does ISN/CTR seek for its time-constrained staff to be trained in the use of such tools.

For FY24, the countries ISN/CTR is seeking to engage with this line of effort lie in the following geographic regions, listed in alphabetical order by acronym: Sub-Saharan Africa (AF), East Asia and Pacific (EAP), Europe and Eurasia (EUR), Middle East/North Africa (NEA), South and Central Asia (SCA), and Western Hemisphere (WHA).

B. FEDERAL AWARD INFORMATION

Length of performance period: Twelve (12) months

Number of awards anticipated: 25 awards (dependent on amounts)

Award amounts: awards may range from a minimum of $50,000 to a maximum of $250,000

Total available funding: $12,000,000

Type of Funding: FY24/25 Nonproliferation, Anti-Terrorism, Demining and Related Activities Funds under the Foreign Assistance Act.

Anticipated program start date: October 1, 2024

This notice is subject to availability of funding.

Funding Instrument Type: Grant, fixed amount award (FAA), or cooperative agreement. Cooperative agreements and some FAAs are different from grants in that bureau staff are more actively involved in the grant implementation ("Substantial Involvement"). ISN/CTR will play an active role in developing and shaping the materials developed and implanted during this award. CTR will also help identify participants.

Program Performance Period: Proposed programs should be completed in 12 months or less.

C. ELIGILIBITY INFORMATION

1. Eligible Applicants

The following organizations are eligible to apply*:*

- Not-for-profit organizations, including think tanks and civil society/non-governmental organizations
- Public and private educational institutions
- Federally funded research and development centers (FFRDCs)
- For-profit organizations Public International Organizations and Governmental institutions

2. Cost Sharing or Matching

Cost sharing is not required and will play no role in when the project is being evaluated.

3. Other Eligibility Requirements

In order to be eligible to receive an award, all organizations must have a Unique Entity Identifier (UEI) number issued via www.SAM.gov as well as a valid registration on www.SAM.gov. Please see Section D.3 for more information.
Applicants are only allowed to submit one proposal package per organization. If more than one proposal package is submitted from an organization, all proposals from that institution may be considered ineligible for funding.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Required application forms are available at grants.gov.

2. Content and Form of Application Submission

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

Content of Application
Please ensure:

- The proposal clearly addresses the goals and objectives of this funding opportunity.
- All documents are in English
- All budgets are in U.S. dollars
- All pages are numbered
- All documents are formatted to 8 ½ x 11 paper, and
- All Microsoft Word documents are single-spaced, 12 point Calibri font, with a minimum of 1-inch margins.

Proposal documents
Mandatory documents

- **SF-424** ***(Application for Federal Assistance – organizations)***
- **Project Proposal:** Please follow the directions to complete the proposal template included in the application package.
- **Consolidated Project List**
- **Budget Detail**

Optional documents

- **SF-424B** ***(Only required for organizations not registered in SAM.gov)***

- ○ **SF -LLL (DISCLOSURE OF LOBBYING ACTIVITIES)**
- ○ **Copy of most recent approved NICRA**
- ○ **Summary Page**
- ○ **DEIA standalone document (Separate from DEIA plan information included in project proposal)**

2. Summary Page: Cover sheet stating the applicant name and organization, proposal date, program title, program period proposed start and end date, and brief purpose of the program.

3. Proposal (3 pages per project maximum): The proposal should contain sufficient information that anyone not familiar with it would understand exactly what the applicant wants to do. Use the project proposals template posted with this NOFO.

5. Budget Detail: Use the spreadsheet template included with the NOFO to describe each of the budget expenses in detail. See section *H. Other Information: Guidelines for Budget Submissions* below for further information.

6. Consolidated Project List: Please use the provided template to identify all key information about the project. Each project included with this proposal should have its own line on the spreadsheet.

7. Attachments (Optional)

- 1-page CV or resume of key personnel who are proposed for the program
- If your organization has a Negotiated Indirect Cost Rate Agreement (NICRA) and includes NICRA charges in the budget, your latest NICRA should be included as a PDF file.
- Standalone DEIA Statement in compliance with the optional proposal document, format included in with the guidance posted with the NOFO.
- SF-LLL form

3. Unique Entity Identifier and System for Award Management (SAM.gov)
(NOTE: This section is required and not optional.)

Required Registrations:

All organizations, whether based in the United States or in another country, must have a Unique Entity Identifier (UEI) and an active registration with the SAM.gov. A 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.
Note: As of April 2022, a DUNS number is no longer required for federal assistance applications.

The 2 CFR 200 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 an award is processed and/or directed to a sub-grantee.

Note: The process of obtaining or renewing a SAM.gov registration may take anywhere from 4-8 weeks. <u>Please begin your registration as early as possible</u>.

- 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) and a UEI number prior to registering in SAM.gov.

- Organizations **based outside of the United States** and that 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.

- **<u>Please note that as of November 2022 and February 2022 respectively, organizations based outside of the United States that do not intend to apply for U.S. Department of Defense (DoD) awards are no longer required to have a NATO Commercial and Government Entity (NCAGE) code or CAGE code to apply for non-DoD foreign assistance funding opportunities.</u>** If an applicant organization is mid-registration and wishes to remove a CAGE or NCAGE code from their SAM.gov registration, the applicant should submit a help desk ticket ("incident") with the Federal Service Desk (FSD) online at www.fsd.gov using the following language: "I do not intend to seek financial assistance from the Department of Defense. I do not wish to obtain a CAGE or NCAGE code. I understand that I will need to submit my registration after this incident is resolved in order to have my registration activated."

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Organizations based outside of the United States and that DO NOT plan to do business with the DoD should follow the below instructions:

Step 1: Proceed to SAM.gov to obtain a UEI and complete the SAM.gov registration process. SAM.gov registration must be renewed annually.

Organizations based outside of the United States and that DO plan to do business with the DoD in addition to Department of State should follow the below instructions:

Step 1: Apply for an NCAGE code by following the instructions on the NSPA NATO website linked below:

NCAGE Homepage:
https://eportal.nspa.nato.int/AC135Public/sc/CageList.aspx
NCAGE Code Request Tool (NCRT):

Exemptions

An exemption from the UEI and sam.gov registration requirements may be permitted on a case-by-case basis if:

- An applicant's identity must be protected due to potential endangerment of their mission, their organization's status, their employees, or individuals being served by the applicant.
- For an applicant, if the Federal awarding agency makes a determination that there are exigent circumstances that prohibit the applicant from receiving a unique entity identifier and completing SAM registration prior to receiving a Federal award. In these instances, Federal awarding agencies must require the recipient to obtain a unique entity identifier and complete SAM registration within 30 days of the Federal award date.

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.

4. Submission Dates and Times

Applications are due no later than **31 January 2024 at 11:59pm (EDT).**

5. Funding Restrictions

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

Under Section 635b of the Foreign Assistance Act, CTR is able to provide awards to for-profit corporations, so long as the for profit does not benefit in profit from the implementation of the award.

6. Other Submission Requirements

All application materials must be submitted through www.Grants.gov unless you are a U.S. Government entity applying for Inter-Agency Agreement (IAA) funding. If you are applying for an IAA please submit proposals to the relevant program team and ISN-CTR-BUDGET@state.gov.

E. APPLICATION REVIEW INFORMATION

1. Criteria

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 implementation period, and describe observable progress in meeting the program goals described above.

- **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. Implementers are welcome but not required to submit with their proposal a plan for how the implementer intends to further ISN/CTR's diversity, equity, inclusion, and accessibility (DEIA) objectives through their programming. Submitted plans will be evaluated separate to the overall evaluation of projects and

- **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. 5 or higher)), System and Information Integrity Policy (SI-1) as follows:
  a. Identification and Authentication: Implement multifactor authentication for network access and local access.
  b. Access Controls: Implement security controls for information sharing, remote access and wireless access including: Monitoring, controlling, and protecting remote and wireless access to information by auditing information systems components (e.g., workstations, notebook computers, smartphones, and tablets).
  c. 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.

2. Review and Selection Process

A review committee will evaluate all eligible applications, final funding decision will be made by ISN/CTR Office Director and Deputy Director.

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

i. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the U.S. government designated integrity and performance system accessible through SAM.gov (see 41 U.S.C. 2313);

ii. An applicant, at its option, may review and comment on any information about itself that a Federal awarding agency previously entered. 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;

iii. The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.206 Federal awarding agency review of risk posed by applicants.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

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

Payment Method: Payment Management System or SF-270 on a monthly basis.

2. Administrative and National Policy Requirements

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

These include:

- 2 CFR 25 - UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT
- 2 CFR 170 - REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION
- 2 CFR 175 - AWARD TERM FOR TRAFFICKING IN PERSONS
- 2 CFR 182 - GOVERNMENTWIDE REQUIREMENTS FOR DRUG-FREE WORKPLACE (FINANCIAL ASSISTANCE)
- 2 CFR 183 - NEVER CONTRACT WITH THE ENEMY
- 2 CFR 600 – DEPARTMENT OF STATE REQUIREMENTS
- 41 USC 4712 - Enhancement of contractor protection from reprisal for disclosure of certain information
- U.S. DEPARTMENT OF STATE STANDARD TERMS AND CONDITIONS

In accordance with the Office of Management and Budget's guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance, the Department of State will review and consider applications for funding, as applicable to specific programs, pursuant to this notice of funding opportunity in accordance with the following: NOTE:

- Guidance for Grants and Agreements in Title 2 of the Code of Federal Regulations (2 CFR), as updated in the Federal Register's 85 FR 49506 on August 13, 2020, particularly on:
    - Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR part 200.205),
    - Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (Pub. L. No. 115—232) (2 CFR part 200.216),
    - Promoting the freedom of speech and religious liberty in alignment with *Promoting Free Speech and Religious Liberty* (E.O. 13798) and *Improving Free Inquiry, Transparency, and Accountability at Colleges and Universities* (E.O. 13864) (§§ 200.300, 200.303, 200.339, and 200.341),
    - Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR part 200.322), and
    - Terminating agreements in whole or in part to the greatest extent authorized by law, if an award no longer effectuates the program goals or agency priorities (2 CFR part 200.340).

In accordance with the Executive Order on Advancing Racial Equity and Underserved Communities, proposals should demonstrate how the program advances equity with respect to race, ethnicity, religion, income, geography, gender identity, sexual orientation, and disability. The proposal should also demonstrate how the program will further engagement in underserved communities and with individuals from underserved communities. Proposals should demonstrate how addressing racial equity and underserved communities will enhance the program's goals and objectives, as well as the experience of participants.

The support of underserved communities will be part of the review criteria for this opportunity. Therefore, proposals should clearly demonstrate how the program will support and advance equity and engage underserved communities in program administration, design, and implementation.

Reporting

Reporting Requirements: Recipients will be required to submit financial reports and program reports. The award document will specify how often these reports must be submitted.

Foreign Assistance Data Review: As required by Congress, the Department of State must make progress in its efforts to improve tracking and reporting of foreign assistance data through the Foreign Assistance Data Review (FADR). The FADR requires tracking of foreign assistance activity data from budgeting, planning, and allocation through obligation and disbursement. Successful applicants will be required to report and draw down federal funding based on the appropriate FADR Data Elements, indicated within their award documentation. In cases of more than one FADR Data Element, typically program or sector and/or regions or country, the successful applicant will be required to maintain separate accounting records.

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

For programmatic questions about this solicitation, contact:

Office of Cooperative Threat Reduction
U.S. Department of State
Email: CSP@state.gov; ISN-CTR-DPRK@state.gov;

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