U.S. DEPARTMENT OF STATE
U.S. CONSULATE GENERAL, HONG KONG & MACAU
PUBLIC AFFAIRS SECTION
Updated Notice of Funding Opportunity (March 20, 2023)

Funding Opportunity Title: U.S. Consulate General Hong Kong and Macau, PAS Annual Program Statement
Funding Opportunity Number: HKG-NOFO-FY23-01
Deadline for Application: September 10, 2023
Ceiling of Award Amount: $50,000
CFDA Number: 19.040- Public Diplomacy Programs
References: Standard Department Terms & Conditions (English)

A. PROGRAM DESCRIPTION

The U.S. Consulate General Hong Kong & Macau Public Affairs Section (PAS) is pleased to announce that we are accepting proposals for the Small Grants Program. This annual notice of funding opportunities outlines our funding priorities and areas of interest, as well as procedures for submitting requests for funding. Please note that this notice supplements specific notices of funding opportunities that may be posted both here and on other relevant sites throughout the year. Please carefully follow all instructions below. **This notice is subject to availability of funding.**

Purpose of Small Grants: PAS Hong Kong and Macau invites proposals for programs that **strengthen cultural ties between the U.S. and Hong Kong and the U.S. and Macau** through cultural and exchange programming that highlight shared values and promote bilateral cooperation. All programs must include a U.S. "element" or connection with American expert/s, organization/s, or institution/s in a specific field that will promote increased understanding of U.S. policy and perspectives and build partnerships.

PRIORITY PROGRAM AREAS

Priority will be given to project proposals that further one or more of the U.S. Consulate's goals, including:

- Programs that support STEAM-related activities.
- Programs that promote English language acquisition.
- Programs that promote economic empowerment, with a priority for under-represented communities.
- Programs that increase public awareness about environment, sustainability, climate change, and conservation issues.
- Programs and exchanges that facilitate academic and cultural engagements that highlight and/or discuss American expertise, experience and values and universal human rights.

Applicants are strongly encouraged to include elements of diversity, equity, inclusion and accessibility in their proposals.

PAS Small Grants Program projects may include, but are not limited to, the following types of programs:

- Academic, cultural, civil society/NGO, and professional lectures, seminars, workshops, exchanges and/or speaker programs that present American society, culture or history, and/or advance American values, such as diversity and inclusion, to local audiences.
- STEAM and innovation developmental programs.
- Projects that foster shared interest in good governance, strengthening civil society, human rights, combatting human trafficking, media freedom, and media literacy.
- Collaborative projects on environmental sustainability, biodiversity conservation, climate change, sustainability, and conservation.
- The participation of American experts, academics, artists, musicians, performers, and filmmakers in local events.

The following types of projects are <u>not</u> eligible for funding:

- Projects relating to or involving any partisan political stance or activity;
- Charitable or development activities;
- Construction projects;
- Projects that support specific religious activities;
- Fundraising campaigns;
- Lobbying for specific legislation or programs;
- International travel, unless specifically justified within the proposal as being integral to the project;
- Commercial activities and projects (including publications);
- Scientific research;
- Projects intended primarily for the growth or institutional development of the organization; or
- Projects that duplicate existing projects.

Authorizing legislation, type and year of funding:
Funding authority rests in the Smith-Mundt and Fulbright-Hays Acts.
The source of funding is FY2023 Public Diplomacy Funding.

B. FEDERAL AWARD INFORMATION

Length of performance period: *12 months*
Award amounts: awards may range from a minimum of *$3,000* to a maximum of *$50,000*
Total available funding: *$300,000*
Type of Funding: Fiscal Year *2023 Public Diplomacy Funding*
Proposals are accepted on a rolling basis throughout the fiscal year and reviewed quarterly
This notice is subject to availability of funding.

Funding Instrument Type: Funding will be provided to selected organizations via a fixed amount award, grant or cooperative agreement. Cooperative agreements are different from grants in that consulate staff are more actively involved in the grant implementation.

Project and Budget Periods: Grant projects generally must be completed within one year or less. PAS will entertain applications for continuation grants funded under these awards beyond the initial budget period on a non-competitive basis subject to the availability of funds, the satisfactory progress of the program, and a determination that continued funding would be in the best interest of the U.S. Department of State.

C. ELIGILIBITY INFORMATION

1. Eligible Applicants

The Public Affairs Section encourages applications from the United States, Hong Kong, and Macau:

- Registered not-for-profit organizations, including think tanks and civil society/non-governmental organizations with programming experience
- Individuals
- Non-profit or governmental educational institutions
- Governmental institutions

For-profit or commercial entities are not eligible to apply.

2. Cost Sharing or Matching:

PAS strongly encourages, but does not mandate, that applicants include cost-sharing elements from additional sources in support of their proposals.

3. Other Eligibility Requirements

Applicants are only allowed to submit one proposal per organization per quarter. If more than one proposal is submitted from an organization, the Consulate will ask the submitter to identify the priority proposal.

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. Individuals are not required to have a UEI or be registered in SAM.gov.

D. APPLICATION AND SUBMISSION INFORMATION

PAS will accept proposals throughout the year and will review proposals according to the following schedule:

- Proposals will be reviewed on a rolling basis in January, April, July, and September, depending on availability of funding. Specific review and response dates are listed in the "Submission Dates and Times" section below.
- Final date for submissions is September 10, 2023.

Please ensure that:

- The proposal clearly addresses the goals and objectives of this funding opportunity
- All documents are in English
- All budgets are in U.S. dollars

The following documents are **required**:

1. Mandatory application forms

- **SF-424** (Application for Federal Assistance – organizations) | instructions **or**
- **SF-424-I** (Application for Federal Assistance – individuals)
- **SF424A** (Budget Information for Non-Construction programs) | instructions
- **SF424B** (Assurances for Non-Construction programs) | instructions

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

3. Proposal (10 pages maximum): The proposal should contain sufficient information that anyone not familiar with it would understand exactly what the applicant wants to do. You may use your own proposal format, but it must include all the items below.

- **Proposal Summary:** Short narrative that outlines the proposed program, including program objectives and anticipated impact.
- **Introduction to the Organization or Individual applying**: A description of past and present operations, showing ability to carry out the program, including information on all previous grants from the U.S. Embassy and/or U.S. government agencies.
- **Problem Statement:** Clear, concise and well-supported statement of the problem to be addressed and why the proposed program is needed.
- **Program Goals and Objectives:** The "goals" describe what the program is intended to achieve. The "objectives" refer to the intermediate accomplishments on the way to the goals. These should be achievable and measurable.
- **Program Activities:** Describe the program activities and how they will help achieve the objectives.
- **Program Methods and Design:** A description of how the program is expected to work to solve the stated problem and achieve the goal.
- **Proposed Program Schedule:** The proposed timeline for the program activities. Include the dates, times, and locations of planned activities and events.
- **Key Personnel:** Names, titles, roles and experience/qualifications of key personnel involved in the program. What proportion of their time will be used in support of this program?
- **Program Partners:** List the names and type of involvement of key partner organizations and sub-awardees.
- **Program Monitoring and Evaluation Plan:** This is an important part of successful grants. Throughout the timeframe of the grant, how will the activities be monitored to ensure they are happening in a timely manner, and how will the program be evaluated to make sure it is meeting the goals of the grant?
- **Future Funding or Sustainability:** Applicant's plan for continuing the program beyond the grant period, or the availability of other resources, if applicable.

4. Budget Justification Narrative: After filling out the SF-424A Budget (above), use a separate sheet of paper to describe each of the budget expenses in detail. See section *H. Other Information: Guidelines for Budget Submissions* below for further information.

5. Attachments:

- 1-page CV or resume of key personnel who are proposed for the program
- Letters of support from program partners describing the roles and responsibilities of each partner
- Official permission letters, if required for program activities

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. Please begin your registration as early as possible.

- 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.
- **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.** 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."

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.

6. **Submission Dates and Times**
    - The Public Affairs Section will accept proposals throughout the year and will review proposals according to the following schedule:
        - Proposals received between October 1 and December 31 will be reviewed by January 10, with responses going out by January 23.
        - Proposals received between January 1 and March 31 will be reviewed by April 14 with responses going out by April 21.
        - Proposals received between April 1 and June 30 will be reviewed by July 7, with responses going out by July 14.
        - Proposals received between July 1 and September 1 will be reviewed by September 11 with responses going out by September 18.
        - Proposals received between September 2 and September 10 will be reviewed by September 15 with responses going out by September 22.

7. Other Submission Requirements

How to Apply:

All application materials must be submitted to **HongKongGrants@state.gov** with "PAS FY23 NOFO" and the applicant organization's name in the subject line of the email. Proposals that do not meet the requirements above will not be considered.

E. APPLICATION REVIEW INFOMRATION

1. Criteria

Each application will be evaluated and rated on the basis of the evaluation criteria outlined below. The review criteria listed below are closely related and are considered as a whole in judging the overall quality of an application.

Organizational capacity and record on previous grants: The organization has expertise in its stated field and PAS is confident in its ability to undertake the program. This includes a financial management system and a bank account.

Quality and Feasibility of the Program Idea – The program idea is well developed, with detail about how program activities will be carried out. The proposal includes a reasonable implementation timeline.

Goals and objectives: Goals and objectives are clearly stated and program approach is likely to provide maximum impact in achieving the proposed results.

Consulate priorities: Applicant has clearly described how stated goals are related to and support

the U.S. Consulate General Hong Kong & Macau's priority areas or target audiences.

Budget: The budget justification is detailed. Costs are reasonable in relation to the proposed activities and anticipated results. The budget is realistic, accounting for all necessary expenses to achieve proposed activities.

Monitoring and evaluation plan: Applicant demonstrates they are able to measure program success against key indicators and provide 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.

Sustainability: Program activities will continue to have positive impact after the end of the program.

2. Review and Selection Process

A Grants Review Committee will evaluate all eligible applications.

3. FAPIIS

For any Federal award under a notice of funding opportunity, if the Federal awarding agency anticipates that the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity may include, over the period of performance (see §200.88 Simplified Acquisition Threshold), this section must also inform applicants:

i. That 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 designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

iii. That 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 §200.205 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: Payments will be made in at least two installments, as needed to carry out the program activities.

Organizations whose applications will not be funded will also be notified via email.

2. Administrative and National Policy Requirements

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

2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions, all of which are available at: https://www.state.gov/about-us-office-of-the-procurement-executive/. Note the U.S Flag branding and marking requirements in the Standard Terms and Conditions.

3. 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.

G. FEDERAL AWARDING AGENCY CONTACTS

If you have any questions about the grant application process, please contact PAS at: **HongKongGrants@state.gov**.
Note: We do not provide any pre-consultation for application-related questions that are addressed in the NOFO. Once an application has been submitted, State Department officials and staff — both in the Department and at embassies and consulates overseas — are not permitted to discuss this competition with applicants until the entire proposal review process is completed.

H. OTHER INFORMATION

Guidelines for Budget Justification

Personnel: 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. If the program involves

international travel, include a brief statement of justification for that travel.

Equipment: Describe any machinery, furniture, or other personal property that is required for the program, which has a useful life of more than one year (or a life longer than the duration of the program), and costs at least $5,000 per unit.

Supplies: List and describe all the items and materials, including any computer devices, that are needed for the program. If an item costs more than $5,000 per unit, then put it in the budget under Equipment.

Contractual: Describe goods and services that the applicant plans to acquire through a contract with a vendor. Also describe any sub-awards to non-profit partners that will help carry out the program activities.

Other Direct Costs: Describe other costs directly associated with the program which do not fit in the other categories. For example, shipping costs for materials and equipment or applicable taxes. All “Other” or “Miscellaneous” expenses must be itemized and explained.

Indirect Costs: These are costs that cannot be linked directly to the program activities, such as overhead costs needed to help keep the organization operating. If your organization has a Negotiated Indirect Cost Rate (NICRA) and includes NICRA charges in the budget, attach a copy of your latest NICRA. Organizations that have never had a NICRA may request indirect costs of 10% of the modified total direct costs as defined in 2 CFR 200.68.

“Cost Sharing” refers to contributions from the organization or other entities other than the U.S. Consulate General Hong Kong & Macau. 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 under any circumstances.