

**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: Reducing Revisionist State Biological and Chemical Weapons Threats
Funding Opportunity Number: SFOP0007378
Deadline for Applications: January 29, 2021 11:59PM EDT
CFDA Number: 19.033
Total Amount Available: \$2,000,000

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) account, and focuses on mitigating weapons of mass destruction (WMD), related delivery systems, and advanced conventional weapons proliferation and security threats from proliferator states and non-state actors.

Within ISN/CTR, the Special Projects (SP) Team seeks to identify and disrupt the ability of revisionist proliferator states to develop chemical and biological weapons (CBW) capabilities. Of concern, according to the 2020 Compliance Report, "the United States certifies that Russia is in non-compliance with the [Chemical Weapons Convention] for its use of a military grade nerve agent in March 4, 2018 in an assassination attempt on UK soil[, and this] attack indicates Russia retains an undeclared chemical weapons program... Furthermore, the United States has concerns that Russia's pharmaceutical-based agents (PBAs) program is for offense purposes."

In addition, the 2020 Compliance Report also notes that "available information does not allow the United States to conclude that the Russian Federation (Russia) has fulfilled its Article II obligation to destroy or to divert to peaceful purposes [Biological Weapons (BW)] items specified under Article I of its past BW program... Though the assessments have changed over time, as noted in the 2005 report, the United States assessed that Russia maintained an offensive BW program in violation of Article I of the Convention. The United States continues to have concerns about Russia activities."

Revisionist proliferator states may attempt to procure sensitive equipment from unsuspecting or indiscriminate commercial or scientific institutions, subvert or otherwise undermine international nonproliferation regimes, manipulate or leverage sensitive dual-use scientific expertise, and/or seek to acquire dangerous pathogens and weaponizable materials for illicit CBW purposes. Revisionist CBW proliferator states may exploit historic habits of commerce with neighbors, including neighboring country industries and research institutes; a lack of national and regional awareness of revisionist state CBW threats; poor inter-ministerial and regional coordination across targeted states; limited state-level capacity to detect and counter state CBW threats; poor

awareness of know-your-customer and due-diligence by suppliers of dual-use biological and chemical equipment, technology and materials; and limited proliferation threat awareness by private sector and university entities, including non-traditional practitioners such as the synthetic biology community. In addition, revisionist CBW states may seek to leverage novel advanced technologies, uneven oversight of foreign commercial and research collaboration on dual-use topics, foreign partners' habits of openness and data-sharing, and poor control of tacit knowledge to advance revisionist state CBW programs.

ISN/CTR's SP Team's FY21 foreign capacity building efforts will involve engagement, development, and implementation of projects to advance one or more of the following objectives:

- Provide actionable, open-source data on the complex financial, procurement, and logistics networks revisionist states may leverage to acquire sensitive dual-use equipment and material.
- Provide rapid and targeted capacity-building activities for foreign partners that illuminate the illicit procurement networks potentially supplying sensitive dual-use biological equipment, technology, dangerous pathogens, and/or weaponizable materials wittingly or unwittingly to revisionist states.
- Enhance partner state public and private sector capacity and coordination to identify and disrupt illicit procurement networks, supply chains, and transshipment that may facilitate CBW proliferation by revisionist states.
- Strengthen awareness, best practices, and networks and communities of practice for traditional and non-traditional partners to protect expertise, research collaboration, and explicit and tacit knowledge from potential exploitation by revisionist states for CBW proliferation.

Program Objectives: ISN/CTR's Special Projects Team seeks to identify and disrupt the ability of revisionist proliferator states to develop and advance illicit CBW capabilities. In so doing, this program directly supports the efforts of U.S. and allied partners to strengthen global nonproliferation regimes, protect dual-use scientific expertise, materials, and technology, and impede revisionist historic rivals who are now drivers for the resumption of great power competition. Specifically, this program seeks to prevent rival, revisionist states from acquiring dual-use biological and chemical technology, materials, knowledge, or expertise from witting or unwitting third countries that can be diverted to advance potential state-sponsored CBW capabilities.

To address these threats, ISN/CTR's Special Projects team seeks creative and competitive proposals that utilize open-source information to map potential illicit revisionist state CBW procurement networks, develop targeted interventions to disrupt access to dual-use biological materials and equipment, and limit access to necessary biological and chemical scientific knowledge and expertise.

ISN/CTR seeks programmatic proposals supporting the following lines of effort:

- 1. Open-Source Data and Related Training to Identify Potential Illicit CBW Facilitation Networks**

- Leverage open-source and commercially available data to identify actionable information on revisionist proliferator states of concern.
- Identify illicit typologies on procurement, financial, and logistics networks that could facilitate potential CBW programs.
- Provide ready-to-deploy, quick-turn, user-friendly open-source data to foreign partners to counter potential revisionist state-led CBW proliferation capabilities.
- Build or utilize existing commercial or collaborative networks to ensure the widest possible dissemination of analysis, datasets, and information.
- Develop cost-effective trainings to enhance partners' capacity to utilize open-source information to promote due diligence and enhance sanctions compliance.

Please note: This program does not fund long-term research projects or the development of new analytical tools or software. ISN/CTR does not seek to acquire an in-house data analytical tool, nor training for ISN/CTR or other USG staff to operate such tools. Further, this program does not fund subscription services to existing publicly available data analytics tools for foreign partners, given the lack of long-term sustainability inherent in such efforts. Instead, ISN/CTR seeks to build sustainable partner country appetite and capacity to meet their own open-source data needs for CBW counterproliferation purposes.

2. Disruption of Potential Illicit Revisionist State BW Supply Chain Capabilities

- Provide capacity building initiatives for partner states using open-source data to identify and block potential revisionist state BW supply chain capabilities.
- Empower foreign government and private sector partners through training, tabletop exercises, threat assessment methodologies, and information sharing to develop best practices to block potential revisionist state BW supply chain capabilities.
- Build threat-aware networks across inter-ministerial communities and regional governments.
- Facilitate public-private partnerships to counter potential revisionist state BW-relevant procurement and knowledge development opportunities.
- Provide 'Know Your Customer' and due diligence training for manufacturers, distributors, and shippers of sensitive biological equipment and materials.
- Raise awareness and create and foster best practices for public-sector partners to counter potential revisionist state BW proliferation capabilities.
- Facilitate regional roundtables and exercises that engage public and private sector partners, mentorships, and truly sustainable train-the-trainer activities.

Please note: Efforts to block procurement of chemicals, chemical weapons precursors, dual-use chemical equipment, technology and materials are implemented through ISN/CTR's Chemical Security Program (CSP), for which a separate NOFO is posted.

3. Protection of Dual-Use CBW-relevant Expertise and Tacit Knowledge

- Engage industry, academic, public and private research institute partners to identify and promulgate best practices and resources from scientific leaders to protect dual-use expertise and tacit knowledge for widespread adoption.
- Raise awareness of potential revisionist state CBW threats and the risks of doing business with sanctioned and disreputable CBW-linked revisionist state entities.

- Develop creative approaches for identifying and engaging non-traditional partners in awareness-raising, networking, and capacity building.
- Identify, promulgate, and implement practitioner-driven best practices to protect dual-use research collaborations, tacit and knowledge, and expertise from potential exploitation by revisionist states.

Countries of Interest: Countries for engagement may include the following, with a focus on:

- Europe/Eurasia (e.g. Albania, Armenia, Azerbaijan, Belarus, Bosnia-Herzegovina, Bulgaria, Cyprus, Estonia, Finland, Georgia, Kosovo, Latvia, Lithuania, Moldova, Montenegro, North Macedonia, Poland, Romania, Serbia, Slovenia, Turkey, and Ukraine). ISN/CTR seeks to enhance the impact of these engagements through creative opportunities to leverage and engage partners and technical expertise from high income, Western European countries at no cost to the project;
- South and Central Asia (e.g. India, Kazakhstan, Kyrgyzstan, Pakistan, Tajikistan, Turkmenistan, and Uzbekistan);
- Southeast Asia (e.g. Indonesia, Malaysia, Philippines, Taiwan, Thailand, Vietnam). ISN/CTR seeks to enhance the impact of these engagements through creative opportunities to leverage and engage partners and technical expertise from high income Asian countries such as Singapore, Republic of Korea, Australia, and Japan at no cost to the project.

Project Deliverables: Suggested deliverables could include, but are not limited to:

- Open-source information and related training that highlights illicit procurement and financial networks that support revisionist state access to sensitive dual-use technologies, dangerous pathogens, and/or weaponizable materials;
- Training and capacity-building efforts to enhance due diligence by foreign partner countries and institutions that prevent financing, procuring, or distributing sensitive biological technologies to revisionist proliferator states;
- Foreign partner capacity building to detect and disrupt procurement and financial networks that could support potential revisionist state BW capabilities;
- Foreign partner country capacity building to impede and prevent access to sensitive chemical and biological expertise, collaboration, tacit and explicit knowledge by revisionist states;
- Development of methods to leverage U.S. and international sanctions regimes to strengthen CBW proliferation deterrence.

Participants and Audiences: These projects engage partner country public sector audiences from responsible ministries and agencies for science and technology, education, foreign affairs, law enforcement, health, transportation, emergency management, and others. These projects also engage public and private sector research institutes, public and private educational institutions, industry, intergovernmental and non-governmental organizations in the regions and countries indicated above. These projects do not provide capacity-building support for Russian entities or individuals. As foreign assistance projects, this program does not provide training or capacity-building support to U.S. national audiences.

B. FEDERAL AWARD INFORMATION

Length of performance period: Twelve (12) Months

Award amounts: awards should range between \$50,000 to a maximum of \$500,000 per project

Total available funding: \$2,000,000

Type of Funding: FY21/22 Nonproliferation, Anti-Terrorism, Demining and Related Activities Funds under the Foreign Assistance Act.

Anticipated project start date: October 1, 2021

Funding Instrument Type: Cooperative agreement. Cooperative agreements are different from grants in that bureau staff are more actively involved in the grant implementation. The CTR office will play an active role in developing and shaping the materials developed and implanted during this award. CTR will also help identify participants.

Project Performance Period: Proposed projects should be completed in 12 months or less.

This notice is subject to availability of funding.

C. ELIGIBILITY INFORMATION

1. Eligible Applicants

The following organizations are eligible to apply (both domestic and international):

- Not-for-profit organizations
- Public and private educational institutions
- For-profit organizations
- Public International Organizations

2. Cost Sharing or Matching

This program does not require cost sharing, however proposals that demonstrate cost sharing will be welcomed.

The recipient is required to maintain written records to support all allowable costs that are claimed as its contribution to cost-share, as well as costs to be paid by the Federal government. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost-sharing as stipulated in the recipient's budget, the Bureau's contribution may be reduced in proportion to the recipient's contribution.

3. Other Eligibility Requirements

In order to be eligible to receive an award, all organizations must have a unique entity identifier (Data Universal Numbering System/DUNS number from Dun & Bradstreet), as well as a valid registration on www.SAM.gov. Please see Section D.3 for information on how to obtain these registrations. Individuals are not required to have a unique entity identifier or be registered in SAM.gov.

While there is no limitation on the number of projects within an overall proposal package, Applicants are only allowed to submit one proposal package per organization. The only exception is if an organization has more than one DUNS number. If more than one proposal is submitted from an organization, all proposals from that institution will be considered ineligible for funding.

Applicants may submit to more than one notice of funding opportunity under ISN/CTR's Global Threat Reduction Program.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application forms required below are available at [grants.gov](https://www.grants.gov)

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

2. Content of Application

Please ensure:

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

The following documents are **required**:

Section 1 - Application for Federal Assistance (SF-424):

This form is part of the NOFO proposal package.

Section 2 – Project Proposal(s):

Using the provided template, the applicant must provide a completed project proposal. The proposal form must be completed in its entirety and clearly specify the proposed scope, deliverables, and timeline. Applicants must specify a point of contact for each project that is proposed.

Section 3 - Budget:

Also using the provided project proposal template, applicants must provide a budget for each project. The budget must identify the total amount of funding requested, with a breakdown of amounts to be spent in the following budget categories:

Application Submission Process: Applicants should submit project proposals electronically using Grants.gov. Thorough instructions on the Grants.gov application process are available at

<http://www.grants.gov>. For questions relating to Grants.gov, please call the Grants.gov Contact Center at 1-800-518-4726.

3. Required Registrations:

Any applicant listed on the Excluded Parties List System (EPLS) in the System for Award Management (SAM) is not eligible to apply for an assistance award in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR, 1986 Comp., p. 189) and 12689 (3 CFR, 1989 Comp., p. 235), “Debarment and Suspension.” Additionally, no entity listed on the EPLS can participate in any activities under an award. All applicants are strongly encouraged to review the EPLS in SAM to ensure that no ineligible entity is included.

All organizations applying for grants (except individuals) must obtain these registrations. All are free of charge:

- Unique entity identifier from Dun & Bradstreet (DUNS number)
- NCAGE/CAGE code
- www.SAM.gov registration

Step 1: Apply for a DUNS number and an NCAGE number (these can be completed simultaneously)

DUNS application: Organizations must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet. If your organization does not have one already, you may obtain one by calling 1-866-705-5711 or visiting <http://fedgov.dnb.com/webform>

NCAGE application: Application page here:

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

Instructions for the NCAGE application process:

<https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf>

For NCAGE help from within the U.S., call 1-888-227-2423

For NCAGE help from outside the U.S., call 1-269-961-7766

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

Step 2: After receiving the NCAGE Code, proceed to register in SAM.gov by logging onto: <https://www.sam.gov>. SAM registration must be renewed annually. Please note that your CCR registration must be annually renewed.

4. Submission Dates and Times

Applications must be submitted on or before January 29, 2020, 11:59 p.m. Eastern time.

Applications submitted after 11:59 p.m. will be ineligible for consideration. Begin the application process early, as this will allow time to address any technical difficulties that may arise in advance of the deadline. There will be no exceptions to this application deadline.

5. Funding Restrictions

Of note, legal restrictions prevent ISN/CTR from providing assistance to Burma, China, Iran, North Korea, South Sudan, Sudan, and Syria. As a matter of policy, ISN/CTR does not provide assistance to Russia.

6. Other Submission Requirements

All application materials must be submitted electronically through www.Grants.gov.

E. APPLICATION REVIEW INFORMATION

Applicants should note that the following criteria serve as a standard against which all project proposals will be evaluated and identify significant considerations that should be addressed in all proposals. ISN/CTR will award a cooperative agreement to the applicant(s) whose offer represents the best overall value to the government from both a technical and cost perspective. ISN/CTR will evaluate proposals against the stated criteria. Criteria are listed in descending order of importance.

- **Proposed Activity or Activities:** Applicants should clearly describe what they propose to do and how they will do it. The proposed project(s) must directly relate to meeting the specified objectives and applicants should include specific information on how they will systematically meet ISN/CTR's global threat reduction mission. ISN/CTR will evaluate the project proposal in terms of how well it addresses the issues at hand, relevance and feasibility of the proposed activities, the timeline for completion, and the extent to which the impact of the project will continue beyond the conclusion of the period of performance.
- **Organizational Capability:** Applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve the stated goals and objectives in an international technical context. The proposal(s) must identify all key partners and organizations that will be involved in implementation of this project.
 - **Remote Implementation Option:** Applicant will provide detailed contingency plans for efforts to support the objective of this project through remote and virtual platforms in the event that in-person capacity building events may not be permissible.
- **Budget:** Proposed costs will be evaluated for feasibility, fiscal control practices, and efficiency. ISN/CTR must be able to determine that proposed costs are reasonable, allowable, and allocable to the proposed project activities. ISN/CTR will evaluate the budget to determine if the overall costs are realistic for the work to be performed, if the costs reflect the applicant's understanding of the allowable cost principles established by 2CFR200, and if the costs are consistent with the program narrative.
- **Impactful and Measurable Engagements:** Although complex nonproliferation objectives demand persistent engagement with partner countries, discrete projects should individually advance progress toward a particular objective. Proposals should describe the end-state the project aims to achieve, along with specific, measurable, and realistic benchmarks by which to gauge progress toward that end-state. Compelling project proposals will establish milestones to be met during the training period, and describe

observable progress in the adoption, implementation, or enhancement of nonproliferation or sanctions enforcement and compliance best practices

- **Diversity and Inclusion:** CTR values collaboration and promotes diversity, equity and inclusion with all stakeholders by creating an environment that is open to equal opportunities without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, protected veteran or disabled status.
- **Cyber Security:** Implementer shall be required to establish and follow policy and procedures for an effective implementation of security controls using NIST 800-53 (Rev. 4)), System and Information Integrity Policy (SI-1) as follows:
 1. Identification and Authentication: Implement multifactor authentication for network access and local access.
 2. Access Controls: Implement security controls for information sharing, remote access and wireless access including:
 - a. Monitoring, controlling, and protecting remote and wireless access to information by auditing information systems components (e.g. workstations, notebook computers, smartphones, and tablets).
 3. Incident Handling: Monitor and report any and all security incidents including breaches to ISN/CTR directly within 48 hours of the incident and include a risk assessment of the security access controls.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

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

If a proposal is selected for funding, the Department of State has no obligation to provide any additional future funding. Renewal of an award to increase funding or extend the period of performance is at the discretion of the Department of State.

Issuance of this NOFO does not constitute an award commitment on the part of the U.S. government, nor does it commit the U.S. government to pay for costs incurred in the preparation and submission of proposals. Further, the U.S. government reserves the right to reject any or all proposals received.

Anticipated Time to Award: Applicants should expect to be notified of the *recommended* concepts within 90 days after the submission deadline. Following this initial notification, **selected applicants will be expected to submit a full application within 30 days.** ISN/CTR

staff will provide information at the point of notification about the requirements for the full application, which may include revisions to the activities. The full applications will not be subject to further competition, but must incorporate any suggested changes made by ISN/CTR. Issuance of this NOFO does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of proposals. Further, the Government reserves the right to reject any or all proposals received.

Project Implementation Meeting: The recipient should expect to have a pre-project implementation meeting with ISN/CTR within thirty days after the cooperative agreement is awarded and before any work is performed for the award.

2. Administrative and National Policy Requirements

Terms and Conditions: Before submitting an application, applicants should review all the terms and conditions and required certifications that will apply to this award, to ensure that they will be able to comply. These include: 2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions.

3. Reporting

Reporting Requirements: As a cooperative agreement, reporting and deliverable requirements for this project exceed those of typical grants. Applicants should pay special attention to these enhanced reporting and deliverable requirements. Specifically:
Using a template provided by ISN/CTR, the Recipient shall submit quarterly progress reports to the designated Grants Officer Representative (GOR), program distribution list, and to the following email address ISN-CTR-BUDGET@state.gov detailing:

- Assistance activities conducted during the reporting period;
- Milestones and successes achieved to date;
- Key assistance activities remaining to be implemented with a projected timetable;
- Details of any problems encountered with proposed solutions; and
- Any other pertinent information requested by ISN/CTR.
- The Recipient shall provide the GOR with copies of all materials developed under this cooperative agreement.
- In addition to regular quarterly reports, the Recipient shall furnish the GOR with ad hoc reports as requested from time to time.
- In addition to the above, the Recipient shall submit quarterly financial reports throughout the project period. Financial reports are due 30 days after the reporting period. Final programmatic and financial reports are due 90 days after the close of the project period

Applicants should be aware of the post award reporting requirements reflected in 2 CFR 200 Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters.

G. FEDERAL AWARDING AGENCY CONTACTS

If you have any programmatic questions about the grant application process, please contact: CTRSpecialProjectsProposals@state.gov

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

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

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

“Cost Sharing” refers to contributions from the organization or other entities other than the U.S. Embassy. It also includes in-kind contributions such as volunteers’ time and donated venues.