

NOTICE of FUNDING OPPORTUNITY
Bureau of International Security and Nonproliferation – Office of Export Control Cooperation
U.S. Department of State

Announcement Type:	Cooperative Agreement
Funding Opportunity Title:	C-Malign Exploitation Indonesia’s Critical Dual-use CHIPS
Funding Opportunity Number:	SFOP0009541
Catalog of Federal Domestic Assistance Number:	19.901
Funding Amount:	\$900,000
Approximate Number of Awards:	2
Expected Period of Performance:	24 months
Key Dates:	1. Applications must be submitted by April 17,2023 at 5:00 pm EST 2. Submit all questions by March 31, 2023 at 5:00 pm EST 3. Application review and selection expected in September 2023

EXECUTIVE SUMMARY

The Department of State’s Bureau of International Security and Nonproliferation, Office of Export Control Cooperation (ISN/ECC) is pleased to announce a new funding opportunity through this Notice of Funding Opportunity (NOFO). Under this NOFO, ISN/ECC seeks proposals to advance U.S. foreign policy and national security priorities by supporting initiatives that make decision-making structures and processes in fragile, conflict, or crisis-affected contexts more reflective of and responsive to the needs and perspectives of partner states to ensure strategic trade control systems meet international standards and by engaging on bilateral, regional and multilateral levels with foreign governments to aid in the establishment of independent capabilities to regulate transfers of weapons of mass destruction, WMD-related items, conventional arms, and related dual-use items, and to detect, interdict, investigate, and prosecute illicit transfers of such items.

ISN/ECC invites U.S. non-profit organizations, Domestic & Foreign For-Profit Organizations (must waive fee/profit), U.S. and foreign educational institutions, international NGOs, and Public International Organizations to submit cooperative agreement proposals. ISN/ECC has approximately \$900,000 available to fund two lines of effort.

Organizations that submit an application in response to this NOFO announcement acknowledge and accept all the requirements contained herein. The submission in response to this announcement is voluntary and does not obligate the Department of State to fund the proposal or proposal preparation costs. Please note: Receipt of this NOFO requesting a full application should not be construed as a guarantee of funding. All awards are subject to the availability of funds and the negotiation and finalization of the approved budget and award package.

Cooperative Agreement(s) not-to-exceed the amount of \$900,000 in FY 2022/2023 Nonproliferation, Antiterrorism, Demining, and Related Programs (NADR-EXBS) funding will be awarded under this NOFO with individual award ceilings identified under each line of effort. The initial period of performance will be for 24 months. Funding authority rests in the Foreign Assistance Act of 1961, as amended. All applicants should be familiar with 2 CFR Part 200 and 600.

Applicants should review all the terms and conditions and required certifications which will apply to this award before submitting an application 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

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:

- 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.

Due to the determination made under the Trafficking Victims Protection Act (TVPA) for FY 2021, assistance that benefits the governments of the following countries may be subject to a restriction under the TVPA. The Department of State determines on a case-by-case basis what constitutes assistance to a government; the general principles listed below apply.

Assistance to the government includes:

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

- Applications that do not meet the eligibility criteria and do not contain all required information will not be considered.

A. BACKGROUND & PROJECT DESCRIPTION

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

The purpose of this NOFO is to promote nonproliferation outcomes in Indonesia by 1) improving understanding of the importance and mechanics of foreign direct investment (FDI) screening to mitigate malign and exploitative investment activities which can undermine nonproliferation objectives and 2) helping build and socialize a body of empirical research on the economic effects associated with adopting strategic trade controls (STCs).

To improve understanding of FDI screening measures, the first line of effort would build awareness of foundational risk concepts and coordination between FDI-related regulators and agencies with technical expertise in Indonesia, without favoring any particular FDI framework. EXBS partners commonly lack mechanisms for FDI screening, do not tie FDI screening to nonproliferation objectives, and/or have disparate independent technical agencies which make uncoordinated decisions despite overlapping, complementary, or otherwise relevant equities and expertise. This fundamental lack of risk understanding and associated near-term and long-term trade-offs and implications, and ultimate assumption of risk has globally led to lopsided technology transfer arrangements as well as exploitation and co-optation of strategic natural resources and critical infrastructure, such as ports of entry.

This line of effort seeks to engage a broad set of Indonesian agencies to create a shared understanding of risk concepts and catalyze interagency problem exploration, coordination, and collaboration toward solutions. In particular, the effort should focus on risk to sectors, which include current and future PRC investments in Indonesia. These investments are not limited to PRC Belt and Road Initiatives and include investments in key sectors such as (but not limited to) internet infrastructure, maritime and airport

facilities, security screening, mining (to include rare earth elements, such as Nickel, and Bauxite), finance and digital currencies, aerospace, communication technology, semiconductors, and pharmaceuticals. Indonesia is a Non-Aligned Movement (NAM) country, and to the extent possible, the grantee should be mindful of political sensitivities while engaging Indonesian audiences on investment risks. This LOE must be closely integrated with other EXBS programming which seeks to engage GOI on FDI screening.

The second line of effort's priority is engagement with Indonesian government stakeholders, but additional regional countries' stakeholders may also benefit from engagement. This LOE must be closely integrated with other EXBS programming which seeks to support the adoption of strategic trade controls, including potential collaboration on engagements.

Proposals should reflect a clear understanding of the problem set, as well as efforts to deconflict with existing, ongoing programming and assistance in a region of application to meet the relevant EXBS Program goals.

EXBS seeks to fund implementers to deliver tangible, measurable capacity development and assistance programming in any of the three pillars that helps address these weaknesses and meet aforementioned EXBS goals. Proposals should reflect a clear understanding of the problem set, as well as efforts to deconflict with existing, ongoing programming and assistance in a region of application to meet the relevant EXBS Program goals.

EXBS-sponsored efforts may include research, training, workshops and seminars, targeted industry outreach, technical consultations, and individual mentorship. As appropriate, ISN/ECC may supplement implementers' subject matter expertise with USG experts from the Departments of State, Commerce, Energy, Treasury, Homeland Security, and others. Their participation and travel costs will be covered separately.

Further details on objectives and assistance concepts are provided below.

Goals and Objectives

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

ISN Goals

- Strengthen Global Nonproliferation Norms
- Advance U.S. Strategic Interests and Protect against Threats from the PRC and Russia

- Counter the PRC’s Military-Civil Fusion Strategy
- Build Partner Resilience Against Russian Malign Influence and Exploitation
- Promote Global and Regional Stability to Advance U.S. Interests and Those of U.S. Allies and Partners
- Prevent and Respond to Proliferation of WMD, Missiles, and Destabilizing Conventional Weapons and Technologies
 - Disrupt or Deter Proliferation by State or Non-State Actors that Threaten International Security

EXBS Objectives – Strategic Trade Management

- Increase the number of countries that have adopted strategic trade controls legislation, including penalties.
- Increase the number of countries that have implemented control lists.
- Increase mechanisms for partner industry outreach.
- Improve partner inter-agency coordination and information sharing.
- EXBS Strategic Threats/Matrix Issues
 - **Malign Russian Influence** – Impeding Russia’s malign and destabilizing activities.
 - **Terrorist Pursuit of WMD** – Defeating terrorists’ pursuit of WMD capabilities
 - **China** – Impede Chinese Civilian-Military Fusion

Deliverables/Activities

Line of Effort #1: Introduction to Foreign Direct Investment Screening Measures
The approximate amount of funding available for this LOE is \$444,444.

Indonesia is a Non-Aligned Movement (NAM) country, and its associated foreign and economic policy has contributed to procurements and investments from different foreign state-owned enterprises (SOE) and private companies, to include infrastructure and equipment that due to origin may be incompatible, require different types of maintenance, and even present unique challenges around national security, strategic assets, and technology / IP ownership. Indonesia would benefit from a broader presentation of risk associated with foreign investments into national-security sensitive sectors, a methodology for risk assessment, and a comparative analysis of different foreign investment screening models.

To address these challenges, ISN/ECC proposes to support a phased approach to identify relevant and impactful sectors of foreign investment concerns (now and in the future), deliver workshops to senior and technical level officials, and to sponsor a study trip to

highlight another *developing* foreign investment screening system (vs a fully developed one). This effort could help partners develop a more comprehensive understanding of risks and benefits presented by foreign investment. Alternative concepts and/or phases will be considered if they can demonstrate a more effective way to help partners understand and potentially mitigate foreign investment risks.

- **Phase One:** The grantee will conduct research into Indonesia's existing FDI-related mechanisms and plans, as well as Indonesia-specific investment goals and associated FDI risks (e.g., power generation, EV battery, strategic or rare earth elements, aerospace, etc.). In particular, this phase will focus on current and future PRC-related investment vulnerabilities in Indonesia for workshop discussions and considerations; however, vulnerabilities and examples may also be highlighted as broadly applicable to Southeast Asia. This will include research into historical case studies of those sectoral vulnerabilities and outcomes of interest to Indonesia (e.g., rare earth elements, cyber infrastructure, technology partnerships / joint ventures, etc.). While not exclusively limited to PRC investments and exploitation case studies, these should be included where possible and appropriate to facilitate discussions in later phases.
- **Phase Two:** The grantee will deliver at least two separate in-person workshops: (1) A senior-level overview workshop (approximately 1-day) that examines the issue and facilitates interagency discussion of risk principles, investment opportunities, challenges, benefits, and risks, and interagency coordination. The second and more technical workshop (approximately 2-4 days) is designed to explore foreign investment risk concepts (using in-depth case studies to include those PRC examples developed in Phase One) and various models of interagency coordination in making risk-informed actions regarding FDI. Each workshop (at their respective level) will: (a) develop knowledge on FDI in critical infrastructures and dual-use technology sectors; (b) raise awareness of the national security and sovereign risks associated with FDI; and (c) share effective practices adopted by major institutions and jurisdictions regarding the assessment and decision-making processes related to FDI. Both workshops should highlight key requirements for effective investment screening systems, such as the ability to determine beneficial foreign ownership, foreign control or influence; a systematic way to consider national security impacts; and how to coordinate a large interagency in which some agencies have relevant technical expertise and others have appropriate authorities. The systemic requirements could be used to illustrate the variety of processes and tools used in other jurisdictions to make these determinations about relative risks presented by particular foreign investment transactions and about appropriate measures to mitigate this risk. This Phase may include several days to

several weeks of SME consultations (remote or in-person) in addition to deliveries of both workshops.

- **Phase Three:** The grantee will work with EXBS to identify and sponsor at least one study visit to a location that has recently implemented an investment screening process, or is in the early stages of operating an investment screening scheme. The ideal candidate would have lessons learned due to foreign investment exploitation, be willing to partner with Indonesia, and share some of the same development case studies indicated in Phase One of this LOE. The grantee may consider also sponsoring and executing an additional study visit to a location with a more mature foreign investment screening system.

Line of Effort #2: Economic Benefits of Strategic Trade Controls

The approximate amount of funding available for this LOE is \$298,272.

Aside from the international obligations of UNSCR 1540 and related strategic trade controls lists and implementing regulations, countries considering strategic trade controls (STC) often try and weight the economic benefits of such an adoption. While there is a growing body of research identifying positive import/export (and even foreign direct investment values) in the existence of strategic trade controls, the tangible economic benefits of broadly implemented STCs are difficult to attribute to a causal relationship. This is potentially attributable to a lack of relevant and uniform data, a lack of research focus on the area, difficulty isolating STCs against a myriad of other unrelated policies and factors, phased implementation of STCs impacting various sectors differently, lost economic benefit due to exploitative investments, or a variety of other factors.

To address these challenges, EXBS proposes to support a phased approach to identification of relevant economic factors and global, regional, or country specific metrics to objectively measure economic benefits (e.g., certain types of foreign direct investment, technology transfer, import / export values). This effort would explore the causal or corollary linkages, if any, between economic impacts and implementation of strategic trade controls as contemplated by UNSCR 1540 and articulated by the guidelines of multilateral export control regimes, including adoption of legal regulatory frameworks, establishment of national control lists, and licensing of export, transit, or transshipment of dual-use and military goods, equipment, materials, and technology (tangible or intangible). The economic impacts may be measured as regulations appear around and support developing industries and sectors (e.g., chemical laws). This effort could help partners develop a more comprehensive understanding as to STC implementation impacts: (1) through both empirical / quantitative studies; (2) sector-specific, country case studies of STC implementation; and (3) government and industry outreach. Alternative concepts and/or phases will be considered if they can demonstrate a more effective approach to assessing and communicating the economic effects and benefits of STCs to EXBS partner countries.

- **Phase One:** The grantee will first conduct an international – and potentially global – analysis of stages / aspects of strategic trade controls and any sectoral economic impacts, including but not limited to foreign direct investment (FDI) patterns, tenders, procurements, JVs, research and development (R&D) cooperation, and academic partnerships; or acquisitions related to development, production, and export or use of sensitive technologies. In other words, this could be an historical analysis of STC implementing countries, their related legal STC implementation, and economic changes to the relevant sectors to identify any potential correlations and/or indicators of benefit. The grantee should also identify technology sectors at risk of exploitation, such as those Indonesia has prioritized in its Omnibus law, to present to government stakeholders. Altogether, this will facilitate identification and development of economic factors and metrics (possibly by sectors) by which to measure potential economic benefits. This research ideally would meet standards to ultimately be submitted for a peer-reviewed publication.
- **Phase Two:** The grantee will conduct an Indonesia-specific analysis for at least three historical case study comparisons showing potential economic benefits to Indonesia’s priority sectors. This could include but not be limited to the sectors identified by Indonesia’s Omnibus Law, which identified and opened dozens of sectors for foreign direct investment; many of these sectors implicitly require technology or items covered by the four export control lists. These case studies should demonstrate how similarly situated countries (historically) implemented strategic trade controls and achieved associated economic benefits.
- **Phase Three:** The grantee will plan and execute one regional in-person event to present and discuss the research with regional stakeholders. This regional event (targeting Indonesia and other Southeast Asia and Pacific countries) should include both a senior-level discussion of economic benefits of STC implementation as well as a technical meeting to facilitate a deeper discussion of the data, sources, potential conclusions and data implications, confidence factors, etc. with relevant technical experts. EXBS partner countries will benefit significantly from outreach activities, tools, and resources designed to increase government, industry, and academia’s capacity to understand the potential economic impact of strategic trade controls in their respective countries. The grantee should budget for accommodating the full travel expenses for up to 24 travelers from Southeast Asian countries to the event, also within the region; Malaysia and Philippines may be suitable locations, but the planned location must be approved by the EXBS GOR. The event should be at least two days long, including time for bilateral and/or multi-lateral meetings and

discussions which the grantee may help in facilitating or contribute to as an expert.

- **Phase Four:** The grantee will engage with Indonesian stakeholders, potentially including industry representatives as well as government personnel, to further increase understanding of the economic implications for adopting strategic trade controls and specifically based upon the completed research and analysis. This will include at least one in-person visit to Indonesia to meet, present, and exchange with stakeholders in one or several settings. This engagement (or engagements) may take place before or after the Phase Three regional in-person event and should be planned and coordinated to achieve maximum benefit as circumstances may present.

Target Countries/Regions: Indonesia and potentially other countries in Southeast Asia and the Pacific region, e.g., Cambodia, Lao PDR, Malaysia, Vietnam, Thailand.

Indicators

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

Substantial Involvement

ISN/ECC expects to be substantially involved during implementation of the program. Examples of substantial involvement may include, but are not limited to the following: ISN/ECC expects to be substantially involved during the implementation of the program. Examples of substantial involvement may include, but is not limited to the following:

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

Risk Assessment

Proposals must include a risk assessment and a plan for monitoring and mitigating the risks identified. Risks to project implementation may include a variety of political, environmental, and other factors. A few examples include outbreak of violent conflict, elections that change government partners, cybersecurity / hacking, misuse of personally identifiable information (PII), and diversion of financial or non-financial support to prohibited parties (terrorist financing).

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

Action Plan

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

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

In-Country Consultations and Training

The Recipient shall consult with the Grants Officer Representative (GOR) and, if applicable, the Program Manager prior to engaging in any consultations with foreign experts, U.S. Government multilateral/international organizations, or EXBS partner government officials.

Logistics

The Recipient will be responsible for participant travel, venue, refreshment, interpretation/translation, and per diem costs associated with the workshops and study visit in Phase 2 (likely only local participants) and Phase 3 of Line of Effort #1. In addition, the Recipient (or separate Recipient, if two separate awards for the two Lines of Effort) will be responsible for participant travel, venue, refreshment,

interpretation/translation, and per diem costs for the regional event in Phase 3 of Line of Effort #2, as well as for at least one engagement under Phase 4.

Government-Furnished Information (GFI)

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

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

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

B. FEDERAL AWARD INFORMATION

1. Available Funding and Legislative Authority

The source of this funding is Nonproliferation, Anti-terrorism, Demining, and Related Programs-EXBS. Final award is contingent upon the availability of funds.

2. Summary of Award Information

Type of Award:	Cooperative Agreement
Appropriated Fiscal Year of Funds:	FY 22/23 Foreign Assistance Act
Approximate Total Funding:	\$900,000
Approximate Number of Awards:	2
Anticipated Award Date:	September 2023
Anticipated Project Completion Date:	24 months from start

3. Deadline

Deadline for Applications:	April 17, 2023 at 5:00 PM EST
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C. ELIGIBILITY INFORMATION

Applicants should be knowledgeable of existing strategic trade control programs and best practices, including programs funded by the U.S. Government in this area, and current international trends and developments, in order to capitalize on ongoing work, and not duplicate efforts.

Applications by organizations, which do not meet the eligibility by the time of the application deadline, will result the application not being reviewed.

1. Eligibility for this NOFO is limited to educational and research institutions and U.S. not-for-profit/non-governmental organizations (NGOs) subject to section 501 (c) (3) of the U.S. tax code, foreign educational and research institutions, Domestic & Foreign For-Profit Organizations (must waive fee/profit), and foreign not-for-profits/NGOs and international NGOs and PIOs. For a list of PIOs, visit <https://www.usaid.gov/sites/default/files/documents/308maa.pdf> .
2. Domestic & Foreign For-Profit organizations are eligible to apply. For-profit organizations applying to this NOFO will agree to forgo their profit margins to be eligible for this competition.
3. Cost-Sharing or Matching: Providing cost sharing, matching, or cost participation is not an eligibility requirement for this NOFO.

When cost sharing is offered, it is understood and agreed that the applicant must provide the amount of cost sharing as stipulated in its proposal and later included in an approved agreement. Cost sharing may be in the form of allowable direct or indirect costs. For accountability purposes, you must maintain written records to support all costs that are claimed as your contribution, as well as costs to be paid by the Federal government. Such records are subject to audit. The basis for determining the value of cash and in-kind contributions must be in accordance with the Office of Management and Budget's Circular 2 CFR Parts 200 and 600, entitled the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. In the event you do not provide the minimum amount of cost sharing as stipulated in the approved budget, ISN/ECC's contribution will be reduced in like proportion.

4. Other: Organizations should have existing, or the capacity to develop, requisite technical expertise, and partnerships with international entities and relevant stakeholders, including foreign government officials with broad expertise in strategic trade controls implementation. Organizations should endeavor to apply DEIA principles in their selection of partners and interpretation of stakeholders or target audience.
5. Organizations may form consortia and submit a combined proposal. However, one organization should be designated as the lead applicant. Organizations should submit separate proposals for each line of effort/sub-section/project identified in the NOFO.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

This NOFO contains all information and links necessary for potential applicants to apply. This NOFO and all required forms can be accessed through SAMS Domestic

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

Applications must be submitted through SAMS Domestic
(<https://mygrants.servicenowservices.com>)

Both a valid Unique Entity Identifier (formerly DUNS) number and a SAM.gov registration are required prior to submitting an application. Please register with SAM.gov before you apply for this announcement; if your organization is already registered with SAM.gov, please ensure that your account is active.

Organizations should verify that they have a Unique Entity Identifier number or take the steps needed to obtain one as soon as possible. Instructions for obtaining a Unique Entity Identifier number can be found at www.sam.gov.

Applicants will receive a validation email from SAMS Domestic upon successful submission of an application. Additionally, you must save a screenshot of the checklist showing all documents submitted in case any document fails to upload successfully.

Late applications are neither reviewed nor considered unless the ISN/ECC point of contact listed in Section G of the proposal request is contacted prior to the deadline and is provided with evidence of system errors caused by SAMS Domestic that is outside of the applicants' control and is the sole reason for late submission.

Applicants cannot submit multiple applications in a single entry on SAMS Domestic. Each application has to be submitted independently.

The applicant should not expect a notification from ISN /ECC upon receipt of their application.

For assistance with SAMS Domestic, please call the ILMS Help Desk at 1-888-313-4567 or email ILMS@state.gov. The ILMS Help Desk is available 24 hours a day, seven days a week, except federal holidays.

For a list of federal holidays visit:

<https://www.opm.gov/policy-data-oversight/snow-dismissal-procedures/federal-holidays/>

Application Deadline:

All applications must be submitted by April 17, 2023 at 5:00 p.m. EST. Applications submitted after 5:00 p.m. EST will be ineligible for consideration. We recommend that applicants begin the application process early, as this will allow time to address any technical difficulties that may arise in advance of the deadline. Faxed proposals will not be accepted at any time. Late applications will not be considered. It is the applicant's responsibility to ensure that proposals are submitted on time.

2. Content and Form of Application Submission

Please read the entire NOFO and follow the guidelines for proposal preparation below. Applicants must include the following in the proposal submission. **All submissions must be in English.**

- a. **Table of Contents** that lists application contents and attachments (if any).
- b. **Forms:** Completed and signed SF-424, SF-424A and SF424B, as directed in SAMS Domestic. The Certifications and Assurances that your organization is agreeing to in signing the 424 are available at <https://www.grants.gov/forms/sf-424-family.html>;
- c. **Mandatory Disclosures:** If your organization engages in lobbying activities, a Disclosure of Lobbying Activities (SF-LLL) form is required.
- d. **Proposal Narrative** (not to exceed 12 pages, single-spaced, 12-point Times New Roman font in Microsoft Word, at least one-inch margins), following the structure described below. The proposal narrative should identify inputs, outputs, and outcomes of the proposal activities, timelines, and any qualitative or quantitative targets, and impact. A portion of the program should include compiling, analyzing, and disseminating program results and lessons learned. Applicants should outline a learning plan that demonstrates how the program will be monitored and how monitoring will be analyzed to adapt implementation to support effectiveness and avoid unintended consequences. Some form of independent evaluation must be included in proposals responding to this NOFO. Please elaborate on the type (quasi-experimental, developmental, outcome harvesting, process tracing, etc.). While the type of evaluation is flexible within Department of State guidance, it must be independent.
- e. **One page Diversity, Equity, Inclusion, and Accessibility (DEIA) Plan**
DEIA Plans should address the following categories, the pursuit of which should not take precedence over a proposal's core goals. See Appendix A for definitions of key concepts.
 - *Support staff DEIA:* Consider a diverse pool of potential implementers and sub-implementers to afford employment opportunities to as diverse and inclusive a population as is feasible.

- *SME DEIA*: To the extent possible, consider a diverse population of subject matter experts to deliver training, lead discussions, and present technical information. This may include engaging local and regional experts as trainers. (Note: applicants should not discuss proposals directly with local partners without the explicit approval of ISN.)
- *Audience DEIA*: Consider how to engage a diverse, representative cross-section of the target-audience population while taking into account the objectives of the engagement. This might include considering local representation disparities that are not immediately apparent to those from another culture.
- *Accessibility*: Consider how to actively reduce or eliminate obstacles that would impede participation by people with disabilities.

Plan contents and submission

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

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

The other element is a standalone document (one per proposal). The standalone DEIA Plan should identify proposal-wide actions, highlight past performance, highlight staffing information that will impact the performance of the projects, or articulate examples of previous steps taken consistent with the objectives

above. Standalone document should be no longer than one page on standard letter paper with one-inch margins and 12-point Times New Roman font.

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

- A budget template may be found here: <https://www.state.gov/wp-content/uploads/2019/05/Budget-Guidance-for-Applicants-%E2%80%93-New-Award-Budget-Sample.xlsx>
- Travel costs must be further broken down to reflect transportation expenses and per diem, with per diem reflecting correct rates for destination cities. For further information and current foreign per diem rates, please visit: https://aoprals.state.gov/web920/per_diem.asp
- Applicants must adhere to the requirements of 2 CFR 200.474 when

proposing and conducting travel.

- Applicants should budget for lodging site must be at a four-star (or higher) rated hotel within USG per diem rates. ISN/ECC finds Mobil and AAA hotel ratings acceptable. If a four-star hotel is not available within per diem, Implementer may propose a three-star hotel within per diem rates. If proposing a three-star hotel, implementer must provide accompanying rationale explaining why a four-star hotel is not proposed. The lodging sites should be located convenient to the training locations as well as to local restaurants, etc. (For proposal preparation purposes, Implementer should assume that delegates will arrive the day before the training exchange commences and depart the day after it concludes. The Implementer will be responsible for lodging costs only, with delegates personally responsible for incidental charges such as mini bar, pay television, long distance phone calls, room service, etc.). ISN/ECC strongly prefers that the lodging site be co-located with the training exchange venue. All rooms and hotel facilities shall comply with the current Federal, State, and Local health, fire, and safety regulations and codes.

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

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

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

3. Unique Entity Identifier and SAM.gov

All prime organizations, whether based in the United States or in another country, must have a Unique Entity Identifier (UEI), formerly referred to as DUNS, and an active registration with the SAM.gov **before submitting an application**. ISN/ECC may **not** review applications from or make awards to applicants that have not completed all applicable UEI and SAM.gov requirements. 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.

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 the award is processed and/or directed to a sub-grantee.

Note: The process of obtaining 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). A Commercial and Government Entity (CAGE) code and a UEI number are issued through SAM.gov. Once received continue with the remainder of the SAM.gov registration.
- Organizations **based outside of the United States** and do not pay employees within the United States do not need an EIN from the IRS
- 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 December 2022, organizations based outside of the United States that do**

not intend to apply for U.S. Department of State (DoS) awards are no longer required to have a NATO CAGE (NCAGE).

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

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

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

Step 1: Apply for an NCAGE number

NCAGE Homepage:

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

NCAGE Code Request Tool (NCRT):

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

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

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

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

Step 2: After receiving the NCAGE Code, proceed to www.SAM.gov to obtain a UEI an complete registration. SAM registration must be renewed annually.

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

Step 3: Proceed to SAM.gov to obtain a UEI and complete the registration. SAM registration must be renewed annually.

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

Note: SAM.gov is not the same as SAMS Domestic. It is free to register in both systems, but the registration processes are different. Any content shown from SAM.gov is not owned by DOS and applicants need to refer to SAM.gov for the latest.

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

- **Please see attached “UEI and SAM.gov FAQs” for additional guidance.**

APPLICATION PROCESS:

4. Submission Method and Dates

Completed applications must be submitted electronically through SAMS Domestic. Faxed proposals will not be accepted at any time. **Please follow all NOFO instructions carefully and start early to ensure you have time to collect all the required information.** All applications must be submitted by 5:00 pm EST on April 17, 2023. Applications received after the deadline will not be considered.

For assistance with SAMS Domestic, please call the ILMS Help Desk at 1-888-313-4567 or email ILMS@state.gov. The ILMS Help Desk is available 24 hours a day, seven days a week, except federal holidays.

5. Funding Restrictions

The awards will be funded from money appropriated under the “Nonproliferation, Anti-terrorism, Demining, and Related Programs-EXBS Fund” (NADR) heading in the Department of State, Foreign Assistance Act of 1961. Chapter 9 – Non-Proliferation and Export Control Assistance, Section 582. The limitations contained in section 573(a) of this Act apply to this chapter.

Any funds provided under this agreement must be used in a manner fully consistent with U.S. law. No funds provided by this award shall be used to lobby for or against abortion. No funds provided by this award shall be used to pay for the performance of abortion as a method of family planning or to motivate or coerce any person to practice abortions.

The following cost elements will not be reimbursed and are not allowable in this program:

- Program Staff Training.
- Construction projects.
- Direct support or the appearance of direct support for individual or single party electoral campaigns.

- Direct support or the appearance of direct support for any religious organization, to include repair or building of structures used for religious purposes.
- Military assistance of any kind, including weapons buy back or rewards programs.
- Purchase of firearms, ammunition, or removal of unexploded ordnances.
- Para-police (i.e., militias, neighborhood watch, security guards) and prison-related projects. This restriction includes no funding of any secondary need in a law-enforcement organization.
- Payments for any partner government, military or civilian government employee salary or pension.
- Duplication of services immediately available through municipal, provincial, or national government.
- Vehicle purchases to include motorcycles. (However, transportation costs will be considered.)
- Medical and psychological research or clinical studies.
- Medical/health services.
- Funds for market research, advertising (unless public service related to grant program) or other promotional expenses.
- Entertainment, social activities, alcohol, ceremonies, hospitality and activities relating hereto. Meal costs associated with an overall project are allowable (i.e., working meal).
- Expenses listed as miscellaneous.

Expenses made prior to the approval of a proposal or unreasonable expenditures will not be reimbursed.

E. APPLICATION REVIEW INFORMATION

Criteria: The State Department will review all proposals for technical eligibility. Proposals will be deemed ineligible if they do not fully adhere to the guidelines stated herein. The Program Office, a State Department award review panel, will review all eligible proposals. The State Department’s Office of the Legal Adviser and/or other Department entities also may review proposals. The final decision to recommend an applicant for funding is at the discretion of the Director of ISN/ECC. Final signatory authority resides with the State Department’s Grants Officers in the Office of Acquisitions Management (AQM) and if applicable in ISN/ECC. Each application will be evaluated and scored on the four-part Proposal Components using a 100-point scale by a peer review committee (the Panel) of Department of State officials and other experts, as appropriate.

Proposal Narrative: The Panel will score each of the five sections of the Proposal Narrative for a maximum total score of 100 points based on how completely the sections address the points described in the Proposal Narrative guidance below. The importance of each section is indicated by the maximum score as follows:

- Organizational Profiles
- Program Design and Linkages
- Budget
- Results or Benefits Expected
- Innovation and Sustainability

Criteria Components

1. Organizational Profile (15 points):

The organization has sufficient depth of experience, capacity, and talent to implement the proposed program as described in this announcement. The organization has the capacity to collaborate with other entities (government, private sector, and international organizations) to the extent required for project success. Where collaborators are proposed, the applicant describes the rationale for the collaboration, each partner's respective role, and how the partnership will enhance the accomplishment of the project goals. In all cases, the applicant describes joint planning consultation efforts undertaken. The staff of the organization is well qualified.

2. Project Design and Linkages (30 points):

The applicant must demonstrate that the project addresses both the technical requirements of the EXBS Objectives and the situational requirements of the country/countries involved and the status of their strategic trade controls and border controls efforts. The applicant must demonstrate that the project strategy and design are likely to achieve the proposed results; that proposed activities and timeframes are reasonable and feasible. The proposal describes in detail how project requirements will be accomplished and reasonably outlines the potential for the project to have the positive impacts in the EXBS Objectives that the project seeks to address. ISN/ECC will also evaluate the implementation plan in terms of the extent to which the project outcome is sustainable.

3. Budget (15 points):

The budget provided with the application must be sufficient to address the project Objectives specified in the NOFO and the proposed activities. Costs must be allowable, allocable, and reasonable, per federal regulations. Costs must fit within the budget ceiling identified in the NOFO

4. Results or Benefits Expected (25 points):

The applicant clearly describes the results and benefits to be achieved. The applicant identifies how program results will be measured by specifying key indicators and providing program milestones indicating progress. Proposed outcomes are tangible and achievable within the period of performance.

5. Innovation and Sustainability (15 points):

Applications will be evaluated on the likelihood of sustainable results that will endure beyond the period of performance.

F. FEDERAL AWARD ADMINISTRATION INFORMATION:

1. Federal Award Notices

The cooperative agreement shall be administered by the Grants Officer (GO) and Grants Officer Representative (also known as the GOR) and signed by the GO. The Grants Officer is the Government official delegated the authority by the U.S. Department of State Procurement Executive to write, award, and administer grants and cooperative agreements. The assistance award agreement is the authorizing document, and it will be provided to the Recipient electronically via the SAMS Domestic system. Unsuccessful applicants will be notified in writing.

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. Furthermore, the Government reserves the right to reject any or all proposals received.

2. Administrative and National Policy Requirements

Prior to submitting an application, applicants should review all the terms and conditions and required certifications that will apply to this award to ensure they will be able to comply. The terms and conditions are available on the State Department's procurement website at: <https://www.state.gov/m/a/ope/index.htm>

Applicants should also be familiar with the federal regulations that will apply to this federal assistance award: OMB Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards (2 CFR Chapter I, Chapter II, Part 200, et al.)

3. Diversity, Inclusion, Equity, Inclusion, & Accessibility (DEIA)

The DEIA Plan is an optional proposal document, evaluated separately from the overall project. Any points earned from the DEIA Plan will be added to the base evaluation as a bonus points.

Reviewers will award points using the following scale:

1. Plan is either not submitted or the reviewers deem it unlikely to achieve any of the targeted objectives.

2. Reviewers assess that the submitted Plan has a moderate chance of achieving one or more of the targeted objectives.
3. Reviewers assess that the submitted Plan has a high chance of achieving one or more of the objectives.

If an implementer submits both elements noted above, it may be possible for an implementer to receive a total of four bonus points.

Appendix A: Definitions (from Executive Order [14035](#)):

The term “diversity” means the practice of including the many communities, identities, races, ethnicities, backgrounds, abilities, cultures, and beliefs of the American people, including underserved communities.

The term “equity” means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment.

The term “inclusion” means the recognition, appreciation, and use of the talents and skills of employees of all backgrounds.

The term “accessibility” means the design, construction, development, and maintenance of facilities, information and communication technology, programs, and services so that all people, including people with disabilities, can fully and independently use them.

The term “underserved communities” refers to populations sharing a particular characteristic, as well as geographic communities, who have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life.

4. Reporting Requirements

The Recipient, at a minimum, shall provide quarterly financial and progress reports, and final reports for the same. The Recipient shall track all funding by country using a template provided by ISN/ECC. Please note that all substantiating documentation supporting reporting and data collected, including survey responses and contact information, must be maintained for a minimum of three years and provided to the Department of State upon request. All reports must be written in English.

i. Financial Reports

The Recipient is required to submit quarterly financial reports throughout the project period, using Form FFR SF-425, the Federal Financial Report form. Form FFR (SF-425) can be found on OMB’s website here: <https://www.grants.gov/forms/post-award->

reporting-forms.html. Financial reports are due 30 days after the end of each fiscal year quarter.

ii. Progress Reporting

While the Recipient will be in frequent contact with the ISN/ECC GOR concerning the project details, the cooperative agreement is required to submit quarterly program progress reports. The Recipient shall also track all funding by country and provide quarterly reports detailing funds expended and funds remaining. Additional templates may be suggested by the Grants Officer Representative (GOR) in consolidation of Grants Officer Progress reports are due 30 days after the end of the quarterly reporting period.

Q1 (October -December) due January 30;
Q2 (January-March) due April 30;
Q3 (April-June) due July 30; and
Q4 (July-September) due October 30

iii. Reporting & Invoicing:

ISN/ECC and AQM shall hold a kick-off meeting upon signing of the award. ISN/ECC will provide programmatic and financial templates for monthly updates. The Recipient must track project costs according to the template, which follows ISN/ECC's allotment of funds by country. The reporting should be uploaded into SAMS Domestic, as well as emailed to the GOR and ECC_Grants@state.gov. Recipient should invoice ISN/ECC through the PMS system monthly.

iv. Final Report

The final report will be due no later than 120 days after completion or termination of all project activities. The Final Program Report shall include the following elements: executive summary, successes, outcomes, how the project will impact industry compliance and STC enforcement capacities when implemented, and how the project has addressed the ISN Goals and EXBS Objectives. A final financial report (SF-425), marked as final, will also be required.

G. AGENCY CONTACT

For questions regarding the contents of requirements of this NOFO, please contact:

ISN/ECC Grants Team
E-mail: ECC_Grants@state.gov

Note that once the Notice of Funding Opportunity deadline has passed, Department of State staff in Washington, D.C. may not discuss this competition with applicants until the review process has been completed.

COMMITMENT and AVAILABILITY OF FUNDS:

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. Furthermore, the Government reserves the right to increase or decrease amount announced in the NOFO based on availability of funding or reject any or all proposals received.

Final awards cannot be made until funds have been allocated and committed through applicable State Department procedures. ISN/ECC and AQM will ensure that all applicable requirements have been met prior to the commitment of funds.