

**U.S. DEPARTMENT OF STATE**  
**U.S. EMBASSY SEOUL, PUBLIC DIPLOMACY SECTION**  
**Notice of Funding Opportunity**

**Funding Opportunity Title:** U.S.-ROK Alliance: Virtual Speaker Series and In-Person Study Tour to U.S. Indo-Pacific Command  
**Funding Opportunity Number:** PD-SEOUL-FY20-02  
**Deadline for Applications:** Friday, August 28, 2020 EDT  
**CFDA Number:** 19.040  
**Total Amount Available:** \$70,000

**A. PROGRAM DESCRIPTION**

The U.S. Embassy Seoul, Public Diplomacy Section of the U.S. Department of State announces an open competition for organizations to submit applications to carry out a program as stated below. Please carefully follow all instructions.

**Program Objectives:**

A core group of 10 Korean security experts will be selected for specific expertise on the U.S.-ROK alliance, including DPRK nuclear issues, DPRK cyber terrorism, U.S.-ROK-Japan trilateral security cooperation, China's weaponization of the economy, and maritime security. Each of the 10 experts will be expected to conduct at least 2-3 virtual roundtables on his or her own specific chosen topics. The approximately 20-30 virtual programs in this series will be followed by an in-person study tour by the 10-person core group to the U.S. Indo-Pacific Command in Honolulu, which will create opportunities for direct discussions with U.S. officials and subject-matter authorities.

This project is also designed to encourage participation by female Korean security experts, who should be actively recruited for this program. Even though the number of female experts on national security issues has gradually increased in Korea over the past few years, the numbers still skew heavily toward men. With a goal of expanding our target audience among ROK women experts and helping raise their profiles, the PD Programs Team aims to expand their presence in discussions on security issues on and around the Korean Peninsula, centered around the main theme of the U.S.-ROK Alliance and regional security.

The applicant organization should detail in their proposals draft agendas, schedules, topics, potential participants, invitee lists, as well as all financial, travel, and logistical arrangements.

**Participants and Audiences:**

With 10 security experts as the core group, the program is intended to reach a total of approximately two hundred experts – consisting of opinion leaders and academic influencers, research fellows at Korean think tanks, professors at local universities, policy-makers in various ministries (including foreign affairs and national defense), military personnel, lawyers, and journalists – who have actively participated in academic events, research projects, and press interviews, or published on issues related to the U.S.-ROK Alliance, DPRK denuclearization,

inter-Korean relations, and security and foreign policy in the region. The core group of ten participants will travel on the in-person study tour to the U.S. Indo-Pacific Command.

## **B. FEDERAL AWARD INFORMATION**

Length of performance period: 12 - 18 months

Number of awards anticipated: 1 award

Award amounts: awards may range from a minimum of \$50,000 to a maximum of \$70,000

Total available funding: \$70,000

(Note: funding for Embassy staff costs will be borne directly by the Embassy)

Type of Funding: FY20 Smith Mundt Public Diplomacy Funds

Anticipated program start date: October 2020

**This notice is subject to availability of funding.**

**Funding Instrument Type:** Cooperative agreement.

Cooperative agreements are different from grants in that bureau/embassy staff are more actively involved in the grant implementation.

Substantial involvements:

- Advise program forms and agenda; deeply involved in the selection process of target audiences and topics.
- Provide American Space in Seoul and/or American Corners in other provincial cities as program venues, if necessary.
- Arrange Embassy-related sessions with the Ambassador or other sections, if necessary.
- Assist in recruiting American speakers for the virtual series and/or an in-person study tour, if necessary.
- Assist in communicating with U.S. Indo-Pacific Command and other think tanks in Hawaii for the final in-person study tour.
- Accompany participants on all virtual and in-person programs in this series.

**Program Performance Period:** Proposed programs should be completed in 18 months or less. The Department of State will entertain applications for continuation grants funded under these awards beyond the initial budget period on a non-competitive basis subject to availability of funds, satisfactory progress of the program, and a determination that continued funding would be in the best interest of the U.S. Department of State.

## **C. ELIGIBILITY INFORMATION**

### 1. Eligible Applicants

The following organizations are eligible to apply (located in ROK):

- Not-for-profit organizations, including think tanks and civil society/non-governmental organizations
- Public and private educational institutions
- Public International Organizations and Governmental institutions

2. Cost Sharing or Matching

N/A

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](http://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](http://SAM.gov).

Applicants are only allowed to submit one proposal per organization. If more than one proposal is submitted from an organization, all proposals from that institution will be considered ineligible for funding.

## **D. APPLICATION AND SUBMISSION INFORMATION**

1. Address to Request Application Package

Application forms required below are available at embassy website and [grants.gov](http://grants.gov)

2. Content and Form of Application Submission

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

### **Content of Application**

Please ensure:

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

The following documents are **required**:

#### **1. Mandatory application forms**

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

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

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

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

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

**5. Attachments :**

- 1-page CV or resume of key personnel who are proposed for the program
- Letters of support from program partners describing the roles and responsibilities of each partner
- If your organization has a NICRA and includes NICRA charges in the budget, your latest NICRA should be included as a PDF file.
- Official permission letters, if required for program activities

### 3. Unique Entity Identifier and System for Award Management (SAM.gov)

#### **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](http://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%20NCA%20GE.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@dliis.dla.mil](mailto:NCAGE@dliis.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.

### 4. Submission Dates and Times

Applications are due no later than Friday, August 28, 2020 EDT

### 5. Funding Restrictions

N/A

## 6. Other Submission Requirements

All application materials must be submitted by email to [SeoulPDGrants@state.gov](mailto:SeoulPDGrants@state.gov).

### E. APPLICATION REVIEW INFORMATION

#### 1. Criteria

Each application will be evaluated and rated on the basis of the evaluation criteria outlined below.

**Quality and Feasibility of the Program Idea – 30 points:** The program idea is well developed, with detail about how program activities will be carried out. The proposal includes a reasonable implementation timeline.

**Program Planning/Ability to Achieve Objectives – 20 points:** Goals and objectives are clearly stated and program approach is likely to provide maximum impact in achieving the proposed results.

**Monitoring and evaluation plan – 15 points:** Applicant demonstrates it is able to measure program success against key indicators and provides milestones to indicate progress toward goals outlined in the proposal. The program includes output and outcome indicators, and shows how and when those will be measured.

**Sustainability – 15 points:** Program activities will continue to have positive impact after the end of the program.

**Budget – 10 points:** The budget justification is detailed. Costs are reasonable in relation to the proposed activities and anticipated results. The budget is realistic, accounting for all necessary expenses to achieve proposed activities.

**Organizational Capacity and Record on Previous Grants – 10 points:** The organization has expertise in its stated field and has the internal controls in place to manage federal funds. This includes a financial management system and a bank account.

#### 2. Review and Selection Process

A Grants Review Committee will evaluate all eligible applications.

#### 3. Federal Awardee Performance & Integrity Information System (FAPIIS)

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

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

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

iii. That the Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

4. Anticipated Announcement and Federal Award Dates: **September 2020**

## **F. FEDERAL AWARD ADMINISTRATION INFORMATION**

### **1. Federal Award Notices**

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

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

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

**Payment Method:** SF270 - Payments will be made in at least two installments, as needed to carry out the project activities.

## 2. Administrative and National Policy Requirements

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

2 CFR 200, 2 CFR 600, and the Department of State Standard Terms and Conditions which are available at: <https://www.state.gov/about-us-office-of-the-procurement-executive/>.

Note the U.S Flag branding and marking requirements in the Standard Terms and Conditions.

## 3. Reporting

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

## G. FEDERAL AWARDING AGENCY CONTACTS

If you have any questions about the grant application process, please contact: [SeoulPDGrants@state.gov](mailto:SeoulPDGrants@state.gov).

## H. OTHER INFORMATION

### Guidelines for Budget Justification

**Personnel and Fringe Benefits:** Describe the wages, salaries, and benefits of temporary or permanent staff who will be working directly for the applicant on the program, and the percentage of their time that will be spent on the program.

**Travel:** Estimate the costs of travel and per diem for this program, for program staff, consultants or speakers, and participants/beneficiaries. If the program involves international travel, include a brief statement of justification for that travel.

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

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



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

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

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

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