

**U.S. DEPARTMENT OF STATE**  
**U.S. CONSULATE GENERAL SHANGHAI, PUBLIC AFFAIRS SECTION**  
**Notice of Funding Opportunity (NOFO)**

**Funding Opportunity Title:** U.S. Consulate General Shanghai PAS NOFO Statement  
**Funding Opportunity Number:** PD-SHANGHAI-FY21-01  
**Deadline for Applications:** Applications are being accepted now on a rolling basis, with a deadline of July 30, 2021  
**CFDA Number:** 19.040 – Public Diplomacy Programs  
**Award Amounts:** Proposals from USD \$10,000-\$40,000 will be accepted  
**Posted Date:** July 3, 2021

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

**\*\*\* Please note we DO NOT accept projects that have already commenced.**

### **I. PROGRAM DESCRIPTION**

The U.S. Consulate General Shanghai, Public Affairs Section (PAS) of the U.S. Department of State is pleased to announce an open competition for awards through this NOFO and that funding is available through its Grants Program. This NOFO outlines the funding priorities we focus on, and the procedures for submitting requests for funding. Please carefully follow all instructions below.

**Purpose:** PAS Shanghai invites proposals for projects that strengthen ties between the people of the United States and the People’s Republic of China (PRC) through programming that highlights diversity and inclusion, with a focus on improving the lives of persons with disabilities (PWD) so that they may enjoy equal access in every aspect of society. This NOFO is for programs to be conducted in the U.S. Consulate General Shanghai’s consular district (Shanghai and Anhui, Jiangsu, and Zhejiang provinces). All programs must include an American element, which can include angles such as a connection with American experts, organizations, or institutions to promote increased understanding of U.S. policy and perspectives. Applications should include examples of how applicants have previously and successfully operated in China, to include the scope, location, purpose, impact, budget, and overall impact (both outcomes and outputs) in those activities.

#### **Priority Program Areas:**

**Access to arts, culture, sports, music, education institutions, whether public or private, through outreach, programming, capacity building for Persons with disabilities (PWD).**

- Rethinking existing arts, cultural, sports, and other spaces to make them more accessible to PWD. Finding and developing new, innovative accessible spaces.
- Encouraging and engaging PWD to create and display art or other mediums of expression at art, cultural, public or multi-purpose spaces, to join sports and games, with the goal of providing and increasing equal access for PWD in arts, culture, and sports, or other activities that make the PWD feel empowered, included, valued, and counted.
- Public outreach programs to raise awareness of PWD issues, including but not limited to identifying and empowering influencers, non-government organizations (NGOs), major and influential companies to increase the number of organizations advocating for improving the lives and access of PWD.
- Sharing stories of PWD, providing opportunities for them to speak, write, or reach out to the community, to include social media and social media influencers.

- Identifying areas of intersectionality within PWD communities, such as women, LGBTQ, or children, and develop programming addressing their unique experiences.
- Examples of possible types of programs could include:
  - i. Promoting arts education for students, including disadvantaged students and students who are children with disabilities, through activities such as (a) professional development for arts educators, teachers, and/or principals; (b) development and dissemination of accessible instructional materials and arts-based educational programming, including online resources, in multiple arts disciplines; and (c) community and national outreach activities that strengthen and expand partnerships in the education field.
  - ii. Increasing the inclusion and full participation of marginalized youth and people with disabilities through sports opportunities.
  - iii. Programs to better equip those serving disabled job seekers using technology; programs that mitigate factors that result in low employment rates for people with disabilities; improved mobility and accessibility for people with disabilities using technology; job training programs; and the introduction of technological tools to close the digital divide.

**Cost Sharing or Matching Requirement:**

PAS Shanghai encourages, but does not mandate, that applicants include cost-sharing elements from additional sources in support of their proposals. When cost sharing is offered, it is understood and agreed that the applicant must describe the amount of cost sharing expected in its proposal.

**The following types of projects are not eligible for funding:**

- Projects relating to partisan political activity;
- Charitable or development activities;
- Construction projects;
- Projects that support specific religious activities;
- Fund-raising campaigns;
- Scientific research;
- Projects intended primarily for the growth or institutional development of the organization; or
- Projects that duplicate existing projects;
- Requests by organizations and individuals who are neither Chinese nor American;
- International travel, unless specifically justified within the project;
- Trade activities; and/or
- Commercial projects.

**II. FEDERAL AWARD INFORMATION**

**Funding Instrument Type:** Grant, Fixed Amount Award, or Cooperative agreements are different from grants in that PAS staff is more actively involved in the grant implementation.

**Project and Budget Periods:** Grant projects generally should be completed in one year or less. PAS will entertain applications for continuation grants funded under these awards beyond the initial budget period on a non-competitive basis subject to 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. Applicants should consider their budgets carefully and submit a budget commensurate with their project goals. Historically, many projects we have funded have been in the range of \$10,000 to \$40,000.

### **III. ELIGIBILITY INFORMATION**

#### A. Eligible Applicants

The U.S. Consulate General Shanghai, Public Affairs Section encourages applications from the United States and PRC:

- Registered not-for-profit organizations, including think tanks and civil society/non-governmental organizations with programming experience
- Non-profit or educational institutions
- Governmental institutions
- Individuals (when applying as an individual, please note that only ‘Direct Cost’ to the subject applicant is allowed to be funded; e.g. travel expenses for the applicant, small amount of program materials)

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

#### B. Other Eligibility Requirements

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

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

### **IV. APPLICATION AND SUBMISSION INFORMATION**

#### **Submission Dates and Times**

The U.S. Consulate General Shanghai, Public Affairs Section will accept proposals throughout the year and will review proposals according to the following schedule:

- Proposals received and decision will be made on a rolling basis.
- All decisions will be made by August 13, 2021.
- *Project period (including preparation phase) starts prior to response date will not be considered.*

Application forms required below are available at: <https://china.usembassy-china.org.cn/education-culture/grant-opportunities/> and <http://www.grants.gov>

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

#### **Please ensure:**

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

**The following documents are required:**

**A. Mandatory application forms**

**Project Abstract Summary**

[Project Abstract Summary](#)

**Organizations should use SF424 (*Application for Federal Assistance - organizations*):**

[SF424 For Organizations](#)

[Sample SF424 for Non-US Entity](#)

[Sample SF424 for US Entity](#)

**Individuals should use SF424-I (*Application for Federal Assistance - individuals*) at**

[SF424 For Individuals](#)

[Sample 424 for Individual US Citizens](#)

[Sample SF424 for Individual non US Citizens](#)

**SF424A (*Budget Information for Non-Construction programs for organizations*) at**

[SF424A Budget](#)

[Sample SF424A Budget](#)

**SF424B (*Assurances for Non-Construction programs for organizations*) at**

*The SF-424B is required for some applicants. Please see form as needed.*

[SF424B](#)

**B. Summary Coversheet (1 page):** New template has been updated. Please see C. Proposal.

**C. 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. Applicants must submit a proposal that includes the items and order listed below.

- **Proposal Summary:** The proposal should contain sufficient information so 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. This is a short narrative that outlines the proposed project, including project objectives and anticipated impact (10-15 lines).
- **Introduction to the Organization or Individual applying:** A description of past and present operations, showing ability to carry out the project, 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 project is needed.
- **Project Goals and Objectives:** The “goals” describe what the project is intended to achieve. What aspect of the relationship between the U.S. and PRC will be improved? The “objectives” refer to the intermediate accomplishments on the way to the goals. These should be achievable and measurable.
- **Program Methods and Design:** A description of how the project is expected to work and solve or address the stated problem.
- **Project Activities:** Describe the project activities and how they will help achieve the objectives.
- **Proposed Project Schedule:** The proposed timeline for the project 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 project. What proportion of their time will be used in support of this project?
  - Who will work on the project?
  - What responsibilities will they have?
  - What qualifications do they have?
  - What proportion of their time will support this project (e.g. total monthly/yearly salary at 5%)?
- **Project Monitoring and Evaluation:** This is an important part of successful grants. Throughout the timeframe of the grant, how will the activities be monitored to ensure they are happening in a timely manner, and how will the program be evaluated to make sure it is meeting the goals of the grant?
- **Future Funding or Sustainability:** Applicant’s plan for continuing the program beyond the grant period, or the availability of other resources, if applicable.
- **Project Partners:** List the names and type of involvement of key partner organizations and sub-awardees, if applicable.
- **Proposed Budget:** Listing of all project expenses, consistent with the proposal narrative, project activities and USG-wide budget categories. Types and amounts of funding your organization has received for the current project from other partners should be included.
- **Media/Social Media:** All applications must include a plan for how the program(s) will be highlighted through traditional and social media—and through which platforms/outlets.

**Proposals may NOT:**

- Solely benefit one Chinese or American entity, business, or university.
- Generate income. All income generated from grant projects must be used to further the goals of the programs. For example, income earned through a demonstration project must be used to extend the duration of the project or fund more participants.
- Should not primarily focus on academic or scientific research.

Budget Justification Narrative: After filling out the SF-424A Budget, use a separate sheet of paper to describe each of the budget expenses in detail. See section *VII Guidelines for Budget Submissions* for further information.

### **E. Attachments:**

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

### **F. DUNS Number registration:**

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

- Unique Identifier Number from Dun & Bradstreet (DUNS number)
- NCAGE/CAGE code
- [www.sam.gov/SAM/](http://www.sam.gov/SAM/) 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 help from within the U.S., call 1-888-227-2423

For 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 by logging onto:  
<https://www.sam.gov/SAM/> . SAM registration must be renewed annually.

**G. Submitting your grant application:** All application materials must be submitted to [Shanghaigrants@state.gov](mailto:Shanghaigrants@state.gov) with “PD FY2021 NOFO-APS” and the applicant organization’s name in the subject line of the email.

Proposals that do not meet the requirements above will not be considered.

## **V. REVIEW CRITERIA**

A Grants Review Committee will review all eligible applications, and each application will be evaluated and rated on the basis of the evaluation criteria outlined below. The criteria listed are closely related and are considered holistically in judging the overall quality of an application.

- i. Quality and Feasibility of the Program Idea – 25 points: The program idea is well developed, with detail about how program activities will be carried out. The proposal includes a reasonable implementation timeline.
- ii. Organizational Capacity and Record on Previous Grants – 25 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.

- iii. Program Planning/Ability to Achieve Objectives – 15 points: Goals and objectives are clearly stated, and program approach is likely to provide maximum impact in achieving the proposed results.
- iv. 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.
- v. Monitoring and evaluation plan – 15 points: Applicant demonstrates it can 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.
- vi. Sustainability – 10 points: Program activities will continue to have positive impact after the end of the program.
- vii. Cost sharing and/or Matching: Otherwise competitive applications that also provide cost sharing or cost matching thereby substantially increasing the effectiveness and impact of the program will be selected over equally competitive applications that lack cost sharing or matching.

## **VI. FEDERAL AWARD ADMINISTRATION INFORMATION**

### **A. 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 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.

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

### **B. Administrative and National Policy Requirements**

**Terms and Conditions:** Before submitting an application, applicants should review all the terms and conditions and required certifications which will apply to this award, to ensure that they will be able to comply. These include: 2 CFR 200, 2 CFR 600, Certifications and Assurances, and the Department of State Standard Terms and Conditions, all of which are available at: <https://www.state.gov/m/a/ope/index.htm>. Note the U.S. Flag branding and marking requirements in the Standard Terms and Conditions.

## C. 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.

## VII. Guidelines for Budget Justification

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

Travel: Estimate the costs of travel and per diem for this project. If the project 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 project, which has a useful life of more than one year (or a life longer than the duration of the project), 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 project. 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 project activities.

Other Direct Costs: Describe other costs directly associated with the project, 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 project 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.

## VIII. FEDERAL AWARDING AGENCY CONTACTS

If you have any questions about the grants application process, please contact Shanghai PAS Grants Team at: [Shanghaigrants@state.gov](mailto:Shanghaigrants@state.gov).

*Note: We do not provide any pre-consultation for application related questions that are addressed in the NOFO. Once an application has been submitted, State Department officials and staff — both in the Department and at embassies overseas — may not discuss this competition with applicants until the entire proposal review process is completed.*